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ABSTRACT

This SPEC Kit, published six times per year, examines how Association of Research Libraries (ARL) libraries have structured themselves to identify networked information resources in the market, to evaluate them for purchase, to make purchasing decisions, to publicize them, and to assess their continued utility. In the summer of 1999, the survey was distributed to the 122 ARL member libraries; 59 responses (48%) were returned. Ninety-eight percent of the respondents offered networked information resources to their users. Findings are summarized in terms of staff involvement in each of the five steps of managing electronic resources; most effective methods for identifying new resources, evaluating them and making a purchase decision, publicizing new resources, and deciding to retain or cancel a resource; teams that manage networked information resources; budget; and the role of the consortia. Representative documents from selected responding libraries are presented after the survey form and include selection criteria, request forms and procedures, and electronic resources policies. (Contains 21 selected resources.) (AEF)

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SPEC Kit 253

Networked Information Resources

December 1999

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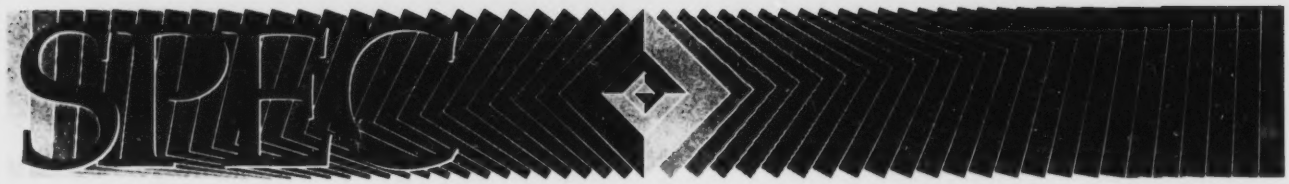

Networked Information Resources

A SPEC Kit compiled by

Richard Bleiler
Humanities Reference Librarian
University of Connecticut

Terry Plum
Network Services Librarian
University of Connecticut

December 1999

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Production Coordinator: Peter Budka

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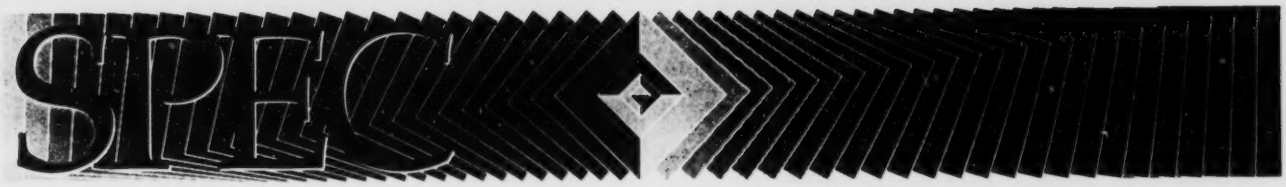

SURVEY

SPEC Kit 253
Networked Information Resources

Executive Summary

Introduction

Until recently, neither the knowledge of available electronic resources nor their evaluation, acquisition, and dissemination were issues significantly impacting the daily operations of research libraries. Developments in computer technologies have irrevocably altered library operations; it is now the unusual library that has not in some way responded to the challenges of developing an awareness of, subscribing to, and disseminating networked resources.

This SPEC Kit examines how ARL libraries have structured themselves to identify networked information resources in the market, evaluate them for purchase, make purchasing decisions, publicize them, and assess their continued utility. For the purpose of the survey, a networked information resource was defined as a commercially available, electronic information resource (library database, full-text service, e-journal, etc.), funded or enabled by the library, which is made available to authorized users through a network (LAN, WAN, dial-in, etc.).

In the summer of 1999, the survey was distributed to the 122 ARL member libraries. A total of 59 responses (48%) were received. Ninety-eight percent of the respondents offered networked information resources to their users.

Staff Involvement

When asked to identify what categories of staff are responsible for each of the five steps in the process of managing electronic resources, survey respondents indicated that collection development bibliographers and reference librarians are the groups most often responsible for all aspects of electronic resource acquisition.

The numbers for these staff members are followed closely by the numbers for branch, regional, or departmental librarians, who apparently have a large degree of autonomous responsibility in the areas of identifying new resources, making prepurchase evaluations, organizing publicity and carrying out a postpurchase assessment. Only in the purchase decision does their participation drop.

It is important to note that teams or groups of staff from different departments or areas are also often engaged with the entire process. Outreach or liaison librarians are a distant fifth, even though the comments indicated that in several libraries all librarians were liaison librarians. Few libraries include cataloging and classification librarians, teams within a department or area, professional staff other than librarians, circulation services librarians, and—remarkable to note—acquisitions librarians in the process.

Identifying New Resources. The identification of new resources arises from many departments. In almost all of the responding libraries, both collection development bibliographers and reference librarians share the primary responsibility for identifying new networked information resources. Thirty-four libraries assign this responsibility to a cross-departmental team. Ten libraries give responsibility to a team or group of staff from within a department or area. In more than half of the libraries, administrative services—including the director and associate directors—are also involved, followed by special

collections librarians and staff from library consortia.

Prepurchase Evaluation. At most libraries, the prepurchase evaluations are conducted by the collection development bibliographers, the reference librarians, or the branch, regional, or departmental librarians. Teams maintain their high level of involvement, as do outreach or liaison librarians and special collections librarians. The participation of information technology librarians jumps in this area and seems to be their important role in the process. A few respondents reported engaging professional staff other than librarians for this activity.

Purchase Decision. The decision to purchase a networked resource is typically shared equally between administrative services and collection development bibliographers. This may be indicative of dual fiscal responsibility inside the library. Once again, teams are an important component: in 60% of the responding libraries, the decision is made by a cross-departmental team and by a same-department team in 12%.

Publicity. The publicity for newly acquired networked resources is handled largely by reference librarians, collection development bibliographers, and branch, regional, or departmental librarians. In more than half of the responding libraries, outreach or liaison librarians and cross-departmental teams also play a major role in publicizing new resources. Compared to the responses for purchase decisions, the level of participation among administrative services drops by more than half, while participation among information technology librarians and departmental teams doubles.

Postpurchase Assessment. Reference librarians, collection development bibliographers, and branch, regional, or departmental librarians maintain a high level of responsibility during the postpurchase evaluation stage, as do cross-departmental teams. Participation by outreach or liaison librarians and departmental teams drops a bit, while participation by special collections librarians, information technology librarians, and catalogers rises. For the first time, circulation librarians become involved in the process.

Effective Methods

Respondents were asked to pick the three most effective methods for identifying new resources, evaluating them, making a purchase decision, publicizing new resources, and deciding to retain or cancel a resource.

Methods for Identifying New Resources. Fifty-eight percent of the respondents indicated that consortial memberships and decisions are one of the top three most effective methods for identifying new networked resources. Almost as many (55%) rely upon vendor demonstrations at national or local library conferences (e.g., ALA, ACRL). Forty-seven percent rely upon requests from faculty, while 43% favor vendor demonstrations in the library. Vendor notifications via regular mail, requests from library staff, electronic bulletin board or distribution list discussions, and product reviews are deemed effective by a quarter to a third of the libraries. In addition, vendor notifications via telephone and email; calls, email, and communications from friends and colleagues; recommendations from students; and vendor demonstrations at national or local online conferences (e.g., National Online Meeting) are in the top three methods for 20% of the responding libraries.

Methods for Prepurchase Evaluation of New Resources. Virtually all of the responding libraries (97%) judged that a trial of the prospective networked resource is one of the three most effective methods for evaluation. Sixty-six percent ask for a vendor demonstration or presentation. Forty percent seek input from other library staff, while 38% seek input from user groups through individual contact, meetings, consultations, etc. User contact that was unfiltered through a librarian factored in 10% or fewer of the responses.

Interestingly, only 16% of the responding libraries seek input from other libraries that have subscribed to the resource or read published evaluations and reviews of the networked resource. Fourteen percent require that an evaluation form with a set of criteria be completed, and 10% seek input through service desks such as the reference desk. Seven percent seek input from electronic

bulletin boards, newsgroups, or distribution lists and from questionnaires, focus groups, or some formal survey.

Methods for Deciding to Purchase a New Resource. Decisions to purchase new networked resources are made through consensus at 66% of the libraries, by the individual responsible for the relevant funds at 55%, and by virtue of function or job description at 24%. Survey comments reflected many different models of decision making operating at the same time in the same library, depending on the nature of the resource, its price, or its content. Many respondents chose more than one answer.

In 78% of the responding libraries, the decisions to purchase can be made at any time during the year. Twenty-six percent of the respondents, however, hold regularly scheduled meetings to discuss purchase decisions. Only 9% purchase networked resources at certain times during the year.

Criteria for the Purchasing Decision. Acceptable licensing language is the single most important criteria, listed in the top three by 76% of the responding libraries. Forty-five percent state that the resource must support the library's strategic goals, 40% that it must support faculty and graduate research, 35% that it must support undergraduate research, and 29% that it must support the university's strategic goals. Thirty-six percent of the respondents state that the networked resource must be available on the web. However, only 24% state that it must fall within a certain price range.

Methods for Publicizing Resources. The most effective method listed by libraries (71% of respondents) is to publicize and offer access to the networked resource through the library's website. Forty percent of the respondents, however, use liaison meetings, consultations, or individual contact with faculty and/or graduate students, and 40% send information via broadcast email or electronic bulletin boards. Thirty-eight percent catalog networked resources in the library catalog, 33% give presentations to relevant faculty and graduate students, and 22% give group training sessions to undergraduate students. Articles in library newsletters and campus newspapers, informational fliers to relevant faculty and graduate students, posted signs around the library and campus, and "friends of the library" materials are all in the top three choices, but are generally deemed less important (5%–15%).

Methods for Deciding to Retain or Cancel a Resource. In determining whether to retain or cancel a resource, 45% of responding libraries evaluate statistics from patron searches, and 41% evaluate the price of the networked resource. Price does not pay much of a role in the prepurchase evaluation, so it is likely that the emphasis on price at this juncture is coupled with usage statistics. Twenty-eight percent say that usage statistics for patron display, retrieval of articles or citations, and patron sessions are highly effective indicators of the resource's value.

The opinions of other librarians play a role in 35% of the responding institutions, and the opinions of users from individual contact, meetings, consultations, etc., pl. y a role in 33%. The opinions of users at service desks such as the reference desk are considered by 17% of the respondents, the inflation rate of the networked resource is considered by 16%, and 14% use as criteria whether the content format was bibliographic or full-text. Opinions from questionnaires, focus groups, or some formal survey are rarely utilized, factoring in the decision-making process only 5% of the time.

Teams

Teams that manage networked information resources play a significant role in 37% of the responding libraries. The majority of these libraries has one or two teams, but several have three to five teams. One has as many as eight teams. Sixty-two percent of these teams have a published charge, indicating a high degree of organization and acceptance in the formal library organizational structure.

The distribution of team responsibility for various aspects of the process is fairly uniform across the five categories. It appears that most teams are involved with all aspects of the process, except, perhaps, for publicity.

The teams involved with some aspect of the acquisition process—from the identification of resources to the postpurchase evaluation—are surprisingly large, ranging from a mean of 8.3 staff members to a mean of 14.5, creating a high overhead for the team process.

In most cases (68% for Team 1, for example) membership on the team is due to responsibilities in the job description. It is therefore not surprising that in most cases (70% for Team 1, for example), the length of term of membership lasts as long as the team member is in the current position.

Budget

Sixty percent of the respondents have a separate budget line for the acquisition of networked information resources. Of those respondents with separate budget lines, the mean percentage of the total acquisitions budget spent on networked resources is 10.75%, the median is 10%, and the range is from 3.5–17%.

Forty-nine respondents stated that their budgets for networked resources have been increased by a variety of means. Eighty percent said that they had redirected monies from the library serials budget, 61% from the library book budget, and 16% from another university budget line. Seventy-six percent stated that there was a budget increase. Furthermore, 22% stated that they had received monies from gifts, 6% from grants, and 16% from somewhere else. There were also a number of creative solutions, including student technology fees, student library fees, special allocations from the provost, and reserve or undesignated funds.

Consortia

Fifty-six respondents (97%) belong to consortia for the primary purpose of acquiring networked information resources. The number of consortia to which the respondents belong ranges from 0 to 24, but the mean and median is 2. The mean number of consortia to which the respondents are members for any purpose—not just acquiring networked information resources—is 3.5, with a median of 3.

Twenty-five of thirty-eight respondents (66%) stated that a consortium makes recommendations, but not purchase decisions. Twelve of the respondents (32%) stated that a consortium only make reports, and 11 of the respondents (29%) stated that a consortium makes the final decisions. The comments indicate that consortia's primary role is to negotiate discounted prices, and the individual library chooses whether to participate in the purchase decision.

Conclusion

In sum, reference librarians and collection development bibliographers tend to dominate the entire process. Branch, regional, or departmental librarians have a large degree of autonomous responsibility in all five steps of the process, except the purchase decision. Circulation and cataloging librarians are underutilized, especially since networked information resources tend to be put into the library's OPAC, and acquisitions librarians are underutilized as well, perhaps because their responsibilities are rarely as standardized or as formalized as the duties of reference librarians and collection development bibliographers.

Teams are an important component in the process of acquiring and keeping networked resources. Because the teams tend to be large, it is apparent that many people want or need to be involved in the process.

Consortia play a major role in identifying new resources and negotiating price, but are less significant in other steps in the process.

Lastly, there are intentionally competing bodies within libraries for the acquisition of network resources—typically, a cross-departmental team and subject bibliographers or liaisons. This development is an example of libraries' more fluid and responsive organizational structures. As one library put it, "It is the policy of [our library] to provide multiple pathways for the acquisition of any electronic resources, so that if interested librarians find one pathway to acquisition blocked for whatever reason, they may try another pathway."

Networked resources have changed the way libraries operate, and the growth in importance and number of these resources should push libraries

even more into a cross-departmental, multi-channeled, team environment.

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Networked Information Resources

Survey Results

Until recently, neither the knowledge of the availability of electronic networked resources nor the evaluation, acquisition, and dissemination of these resources were issues significantly impacting the daily operations of research libraries. Changes and developments in computer technologies have irrevocably altered library operations, and it is now the unusual library that has not in some way responded to the challenges of developing an awareness of, subscribing to, and disseminating networked resources.

This SPEC Kit is designed to examine whether ARL libraries have (re)structured themselves to:

- identify the availability of new networked information resources in the market;
- evaluate new networked resources as candidates for purchase;
- decide to purchase the networked resources and assign funding;
- publicize or market the new networked resources; and
- evaluate networked resources after use to determine their continued utility.

For the purpose of the survey, a networked information resource is defined as a commercially available, electronic information resource (library database, full-text service, e-journal, etc.), funded or enabled by the library, which is made available to authorized users through a network (LAN,WAN, dial-in, etc.).

This survey was designed by Richard Bleiler, Humanities Reference Librarian, and Terry Plum, Network Services Librarian, at the University of Connecticut.

Please submit this survey and send the requested documentation by July 16, 1999. As always, individual responses to the survey will be treated confidentially.

Note: Fifty-nine of the 122 ARL member libraries (48%) responded to this survey.

1. Does your library offer networked information resources to users?

Yes	58	98%
No	1	2%

Staff Involvement

2. Who has responsibility for the following? Check all that apply. (N=58)

	Identifying New Resources	Pre-purchase Evaluation	Purchase Decision	Publicity	Post-purchase Evaluation
Administrative services, including the director and associate directors	32	15	41	16	16
Branch (or regional or departmental) librarians	47	44	31	38	38
Cataloging and classification librarians	6	4	0	2	6
Circulation services librarians	0	0	0	0	2
Collection development bibliographers	54	54	41	42	47
Information technology librarians	24	32	6	13	20
Outreach/liaison librarians	26	27	14	30	26
Acquisitions librarians	20	17	5	2	9
Professional staff other than librarians	11	7	2	6	6
Reference librarians	52	51	25	44	50
Special collections librarians	30	27	15	17	22
Assigned team or group of staff within a department or area	10	13	7	12	9
Assigned team or group of staff from different departments or areas	34	35	35	28	35
Staff from library consortia	28	21	12	12	13

Methods

3. Which of the following methods has been most effective for those responsible for identifying new networked resources? Indicate the three most effective. (N=58)

Consortial memberships and decisions	34	59%
Vendor demonstrations:		
At national or local library conferences (e.g., ALA, ACRL)	32	55%
In the library	25	43%
At national or local online conferences (e.g., National Online Meeting)	5	9%
At national or local pedagogical meetings (e.g., EDUCAUSE)	3	5%
In the vendor's office	0	
Requests from:		
Faculty	27	47%
Library staff	19	33%
Students	6	10%
Staff	0	
Vendor notifications:		
Via regular mail	20	34%
Via telephone	11	19%
Via email	11	19%
Electronic bulletin boards or distribution lists	16	28%
Product reviews	14	24%
Calls, email, or communications from friends or colleagues	8	14%
Visiting other research libraries and discussing networked resources with them	4	7%
Other (please specify)	3	5%
Monitoring peer sites		
Surfing the Internet		
Web-based trials		

4. Which of the following activities have been most effective for those responsible for the evaluation of a new resource for purchase? Indicate the three most effective. (N=58)

Set up a trial for the prospective networked resource	56	97%
Ask for a vendor demonstration or presentation	38	66%
Seek input from:		
Other library staff	23	40%
Other libraries that have subscribed to the resource	9	16%
Electronic bulletin boards, newsgroups, or distribution lists	4	7%
Members of a consortium	3	5%
Seek input from user groups (e.g., faculty or students) through:		
Individual contact, meetings, consultations, etc.	22	38%
Service desks such as the reference desk	6	10%
Questionnaires, focus groups, or some formal survey	4	7%
Read published evaluations and reviews of the networked resource	9	16%
Require that an evaluation form be completed with a set of criteria	9	16%
Other methods (please specify)	1	2%
Self-evaluation		

5. Indicate how the evaluation is communicated to the vendor. (N=55)

Informal contact	39	71%
Evaluation is typically not communicated to the vendor	13	24%
At conferences and meetings	11	2%
Formal report	5	9%
Form letter	2	4%
Other (please specify)	5	9%
Email to the sales representative		

6. What process is used by those responsible to decide whether to purchase a new resource? (N=58)

Decisions are made:		
Through consensus	38	66%
By the individual who is responsible for the relevant funds	32	55%
By virtue of function or job description	14	24%
Hierarchically	8	14%
Other (please specify)	5	9%
Various combinations of the above		
Decisions are made:		
At any time during the year	45	78%
At regularly scheduled meetings	15	26%
Only at certain times during the year	5	9%
Other (please specify)	4	7%
When funds become available		

7. Which of the following are the most important criteria that guide the decision? Indicate the three most important. (N=58)

The licensing language for the resource must be acceptable	44	76%
The resource must support:		
Library's strategic goals	26	45%
Graduate and faculty research	23	40%
Undergraduate research	20	34%
The university's strategic goals	17	29%
The resource must:		
Be available on the web	21	36%
Fall into a certain price range	14	24%
Contain unique material not accessible in the library	9	16%
Be networkable across a variety of interfaces	8	14%
Deliver full-text	6	10%
Have links to full-text or "hook-to-holdings" to print material	5	9%
Support the maximum number of simultaneous users	5	9%
Replace a print or microfilm version of the same work	3	5%
The vendor must commit to certain price restrictions, such as inflation rate	2	3%
The resource has been recommended by a consortium	1	2%
Other (please specify)	5	9%
Currency of data		
Good searching capability		
Has valuable content		
Meets collection development guidelines		

8. Which of the following are the most effective for publicizing new resources? Indicate the three most effective. (N=58)

Publicity and access through library's website	41	71%
Liaison meetings, consultations, or individual contact with faculty and/or graduate students	23	40%
Information sent via broadcast email, or electronic bulletin boards	23	40%
Cataloging networked resources in the library catalog	22	38%
Presentations given to relevant faculty and graduate students	19	33%
Group training sessions for undergraduate students	13	22%
Articles in campus newspaper(s)	9	16%
Articles in library newsletter(s)	9	16%
Group training sessions for faculty and/or graduate students	8	14%
Informational fliers sent to relevant faculty and graduate students	5	9%
Friends of the library handle publicity	3	5%
Signs posted around the library and campus	3	5%
Presentations at a Technology Fair	0	
Consortial announcements and publicity	0	
Other (please specify)	2	3%
Group training for staff		
Library Intranet		

9. Which of the following has the most influence on a decision to retain or cancel a resource? Indicate the three most influential. (N=57)

Usage statistics for:		
Patron searches	26	46%
Patron display or retrieval of articles or citations	16	28%
Patron sessions	16	28%
Price of networked resource	24	42%
Opinions of:		
Other librarians	20	35%
Users from individual contact, meetings, consultations, etc.	19	33%
Users at service desks such as the reference desk	10	18%
Users from questionnaires, focus groups, or some formal survey	3	5%
Web availability	17	30%
Inflation rate of the networked resource	9	16%
Format of content (e.g., bibliographic or full-text)	8	14%
Existence of links to full-text	4	7%
Level of content (e.g., undergraduate or research)	4	7%
Networked resource also available in print	2	4%
"Hook-to-holdings" of print material	0	
Publisher of the networked resource	0	
Other (please specify)	8	14%
Ease of use		
Quality of content		
Reliability of Internet access		
Uniqueness		

Teams

If a team or group has responsibility for any part of this process, please provide answers to questions 10 through 13. If no team or group has responsibility, please continue to question 14.

10. How many teams or groups have responsibility for all or part of the process?

1	11	30%
2	12	32%
3	6	16%
4	4	11%
5	3	8%
Other	1	3%

11. If teams are involved in the acquisition of networked resources, is there a published charge?

Yes	23	62%
No	14	38%

12. Please identify which team has responsibility for which part of the process. Check all that apply. (N=37)

	Team 1	Team 2	Team 3	Team 4	Team 5	Other
Identify new resources	30	18	9	5	1	1
Prepurchase evaluation	33	21	11	5	2	1
Purchase decision	33	15	10	4	3	0
Publicity	22	19	10	7	1	1
Postpurchase evaluation	32	20	11	7	1	1

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13. For the teams below please indicate:

Number of members

	Team 1	Team 2	Team 3	Team 4	Team 5	Other
Range	4–25	5–35	1–17	6–23	13–16	
Mean	10.4	8.3	9	10.3	14.5	
Median	10	8	9	7.5	14.5	
	N=31	N=21	N=11	N=6	N=2	N=0

Method of appointing

	Team 1	Team 2	Team 3	Team 4	Team 5
Appointed by library administration	11	13	4	2	1
Appointed by consortium administration	1	4	1	1	0
Responsibility is in job description	25	15	13	6	1
Members taken from specific department	13	7	3	0	1
Other (please specify) Appointed by library council Appointed by university senate Ex officio Various combinations of above					

Length of term

	Team 1	Team 2	Team 3	Team 4	Team 5
1 year	1	2	1	1	0
2 years	4	2	1	1	0
3 or more years	2	2	0	0	0
As long as in current position	26	14	11	5	2
Other (please describe) Various combinations of terms for different team members	8	6	0	0	1

Budget

14. Do you have a separate budget line for networked resources?

Yes	34	60%
No	23	40%

If yes, what percentage is it of the total acquisitions budget?

Range	3.5–17%
Mean	10.75%
Median	10%

15. If the budget for networked resources has increased, from where has the additional funding come? Check all that apply. (N=49)

Redirected from:		
Library serials budget	39	80%
Library book budget	30	61%
Another university budget line	8	16%
Another library budget	5	10%
Budget increase	37	76%
Gifts	11	22%
Grants	3	6%
Other (please specify)	8	17%
Interlibrary loan or document delivery		
One-time legislative increase		
Reserve funds		
Undesignated funds		

Consortia

16. To how many consortia does your library currently belong for the primary purpose of acquiring networked information resources? (N=56)

Range	0–24
Mean	2
Median	2

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17. To how many consortia does your library belong for all purposes? (N=51)

Range	0–8
Mean	3.5
Median	3

18. If your library is a member of a consortium or consortia for the purpose of acquiring networked information resources, in what way(s) do these groups influence the acquisition process? (N=38)

Make recommendations and others make decisions	25	66%
Make reports and others make decisions	12	32%
Make final decisions	11	29%
Other (please specify)	6	16%

Arrange product trials
Negotiate discount price
Provide forum for evaluating the resource

Responding Institutions

University of Alberta
Arizona State University
Auburn University
Brown University
University of California–Davis
University of California–Irvine
University of California–Riverside
University of California–San Diego
Canada Institute for Scientific and Technical Information
Case Western Reserve University
Center for Research Libraries
Colorado State University
Duke University
Georgetown University
University of Georgia
Georgia Institute of Technology
University of Guelph
University of Hawaii
University of Houston
University of Iowa
Iowa State University
Laval University
Library of Congress
McMaster University
University of Manitoba
University of Maryland
University of Massachusetts
University of Miami
University of Michigan
Michigan State University
University of Minnesota
National Library of Canada
National Library of Medicine
University of Nebraska–Lincoln
University of New Mexico
New York University
University of North Caroiina
Northwestern University
Ohio State University
University of Oklahoma
Oklahoma State University
Pennsylvania State University
Purdue University
State University of New York at Buffalo
Syracuse University
University of Tennessee
University of Texas
Texas A&M University
Texas Tech University
Vanderbilt University
University of Virginia
Virginia Tech
University of Washington
Washington State University
Washington University–St. Louis
University of Waterloo
Wayne State University
University of Western Ontario
York University

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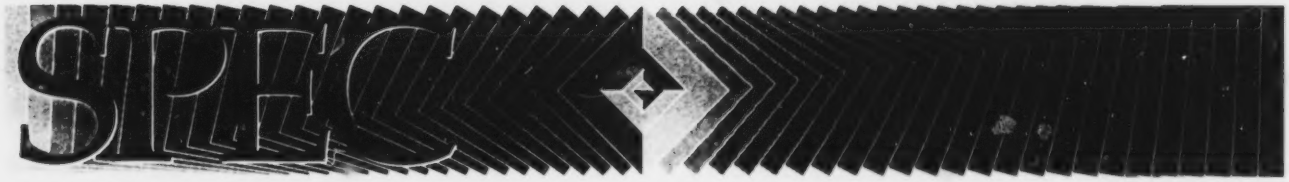

Representative Documents

Team Charge or Mission

Electronic Access Committee

WebSPIRS: Check for holdings
Test Databases
Simultaneous User Limits
Databases by Vendor
E-journals by Project/Publisher
Purpose of the EAC
EAC Members
Criteria for Purchasing Electronic Databases
Criteria for Inclusion on the Database Lists
Submit a request to the EAC
EAC Meeting Minutes

The delivery of Electronic Information across campus is a complex process involving not only the usual activities of funding, ordering and purchasing, but also those of licensing, creating technology links, and staying current with ever dynamic possibilities for dissemination. It is an expensive enterprise with high costs for delivery as well as for the information itself. Expertise is required to evaluate the information, to determine and to put in place the technology required for delivery, and to manage the licensing and electronic acquisitions processes. The Electronic Access Committee (EAC) provides a forum to share this expertise and to reach consensus for best practices.

Return to Main Staff Page

Search the Staff Pages: Search

Site Index

Debi Eason
Perkins Library
Duke University
Durham, NC USA
Last Update: Tuesday, 26-Oct-99 15:45:01
http://www.lib.duke.edu/staff/eac/index.html

The Purpose of the Electronic Access Committee

The Electronic Access Committee was formed in 1993 as a cross-functional team focused mainly on issues surrounding networked access to CD-ROM products. Since its inception the purpose of the EAC has evolved to encompass the following responsibilities:

General Purpose: to review, acquire, and implement electronic resources for campus-wide access.

To accomplish this general purpose the Committee:

- determines and applies criteria and standards for wide area access to information;
- serves as a review and funding board for database selection and acquisition;
- resolves issues surrounding the technological requirements necessary to make resources accessible; this includes resolving hardware and space/capacity issues for databases stored and served up locally;
- coordinates with the Web Interface Team for the best visible connections for resources;
- communicates licensing restrictions and insures compliance;
- coordinates with all libraries on campus (Perkins system and Independent libraries), with other funding sources on campus (such as OIT), and with the TRLN and ASERL consortia to acquire site licensed resources in the most cost effective manner;
- stays abreast of changes and new possibilities for the best delivery of electronic information (this includes entertaining vendor visits and demonstrations); and
- coordinates, where possible, with OIT and the Center for Teaching, Learning, and Writing to enable access and use of electronic information resources.

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Search the Staff Pages:

Search

Site Index

Page Author: Debi Eason
Last Update: Friday, 08-Oct-99 16:07:07
<http://www.lib.duke.edu/staff/eac/goals.html>

TriUniversities Information Resources Group Mandate

Is Responsible to the TUG University Librarians To:

- Work towards achieving harmonized information resources, which meet the needs of, and can be accessed for, the greatest benefit of TUG users. Each institution has unique program needs, and that collaborative collections work will take place when there is mutual benefit for our users in doing so.

- Promote, encourage, and oversee collaborative information resources work and projects within the TriUniversities group.

- Act collaboratively in making acquisitions decisions, sharing of expertise (staff, faculty, campus support units), and sharing feedback.

Roles and Responsibilities:

- Act as the coordinating and decision-making group for cooperative resources sharing and management.

- Initiate discussions and consult with library staff, faculty, and students throughout decision-making processes.

- Review ideas and project proposals received from selectors or groups, and engage in sharing of information, priority setting, negotiating and/or recommending resource allocation.

- Ensure that TUG information resources management efforts are communicated initially within the TUG libraries and university communities - the chief/university librarians, the selectors/liaison librarians at each university, other TUG working groups, and the user communities at each TUG institution.

- Evaluate projects, based on criteria established by the group at the outset of each project. The purpose would be to learn from completed projects (both successful and unsuccessful) and to apply what is learned to future projects.

- Identify training and infrastructure needs for proposed new resources or changes in access modes, and engage in negotiations with TUG administrators and with other TUG working groups to obtain resources to meet these needs.

- Coordinate a TUG response to broader initiatives (from OCUL, for example) as appropriate.

- Work for the TUG information resource management community, not just as advocates for individual institutions within TUG.

Membership:

- Two people from each institution. Other resource people will be invited to participate in meetings as appropriate to the discussion.

Current Membership is Margaret Hendley and Joan Macdonald (University of Waterloo); Linda Cracknell and Deborah Wills (Wilfrid Laurier University); Lorne Bruce and Tim Sauer (University of Guelph)

January 1999

the university of iowa libraries

University of Iowa Libraries

Collection Management Committee

Charge

The Collection Management Committee, under the direction of the Director for Collections and Information Resources, recommends collection policy to the University Libraries' administration and coordinates collection management activities throughout the system.

Specifically, the Committee:

1. Ensures effective communication and coordination among collection management librarians on collection issues.
2. Establishes overall objectives for the development of the University Libraries' collections.
3. Advises the Director for Collections and Information Resources and the University Librarian on budget allocations and the acquisition of expensive resources.
4. Advises the Director for Collections and Information Resources on other issues relating to collection management, such as evaluation of collection management activities, collection evaluation, cooperative project, etc.

Membership

The membership of the Collection Management Committee is as follows:

- One representative from the east side departmental science libraries. (John Forys)
- One representative from the Hardin Library. (Hope Barton)
- One representative from IRIS. (Rebecca L. Johnson)
- One representative from the remaining departmentals (Art, Business, and Music) and from "collecting" departments in Main (Government Publications, including Maps, and Special Collections, including the Iowa Women's Archives). (Rijn Templton)
- Two representatives from among the four full-time bibliographers, the Chinese and Japanese Studies librarians, Eeva Hoch, and any others with part-time selection responsibility for Main (unless represented elsewhere). At least one representative should have area studies responsibilities. (Christine Africa and Jim Julich)
- One representative from Central Processing Services. (Marjorie Wilhite)
- One representative from the access services/interlibrary loan operations. (currently vacant)
- Assistant to the Director, Collections and Information Resources. (Timothy Shipe)
- Director, Collections and Information Resources (Chair, *ex officio*). (Ed Shreeves)

Members serve staggered three-year terms.

University Libraries, University of Iowa.
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Please send comments to: webmaster@www.lib.uiowa.edu.
URL: http://www.lib.uiowa.edu/collections/cmc.html
Last updated: Tuesday, May 25, 1999

http://www.uky.edu/Libraries/lsgcharter.html

University of Kentucky Libraries

Library Systems Group

The University of Kentucky

CHARTER

Team Members		
Tari Keller, Team Leader	Electronic Resources - Systems Librarian	keller@pop.uky.edu
Stephanie Allen	Medical Center Service Center	snalle01@pop.uky.edu
Lew Bowling	Fine Arts Team	lbowling@pop.uky.edu
James Burgett	Acquisition Budget Issues	jeburg01@pop.uky.edu
Bonnie Cox	Collection Development & Budget Issues	bjcox@pop.uky.edu
Shaun Esposito	Law Service Center	shaun@pop.uky.edu
Charles James	LCC / CCS	crjames@pop.uky.edu
Sandee McAninch	Reference, Government Publications	mcaninch@pop.uky.edu
Sharon Miller	Community College Libraries - Systems	ccsmill@pop.uky.edu
Miko Pattie	Statewide Initiatives, OCLC Budget Issues	miko@pop.uky.edu
Toni Powell	Agricultural Information Center	apowell@ca.uky.edu
Kate Seago	Processing Services	kseago@pop.uky.edu
Steve Stone	Electronic Resources - Electronic Text	sstone@pop.uky.edu
Jeff Suchanek	Special Collections & Archives Service Center	jsuch1@pop.uky.edu
Cindi Trainor	Electronic Resources - Desktop Support	cindi@pop.uky.edu
Mary Vass	Social Sciences Team	maryvass@pop.uky.edu
Eric Weig	Electronic Resources - Electronic Text	eweig@pop.uky.edu
Pat Wilson	Science / Engineering Team	pwilson@pop.uky.edu

Process Owner:
(The process owner has the authority and resources to support the group's recommendations.)

Service Centers Team

Background Information

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UNIVERSITY OF KENTUCKY

The Library Systems Group is established to coordinate and provide general oversight for all initiatives involving the provision of electronic information services to library customers.

Over the last few years a number of library units or individuals have been charged with various responsibilities for overseeing and guiding development of library electronic information services. These earlier efforts to manage electronic information services have met with mixed success. They have struggled for numerous reasons, some of which are related to immense scope and rapid change in electronic information and some of which relate to lack of focus, clear purpose and goals, and an overall electronic services plan. Inadequate communication between library and other Information Systems units involved with electronic services was sometimes a factor creating confusion. Lack of authority to take action (or perceived lack) has also been a hindrance in some instances.

In the current environment of rapidly changing alternatives and opportunities in the electronic information arena, it is essential that all information service providers have the support of a body that maintains a comprehensive knowledge of systemwide goals and activities and has the authority to make decisions and/or expedient recommendations to administration. The Library Systems Group is that body. It serves internal customers (information services providers) as a clearinghouse of electronic information activities and an action- oriented expediter. The library's external customers are served by the Library Systems Group indirectly via the positive impact of clarity of direction and purpose in the delivery of information service as provided by the Systems Group.

The challenges faced by the Systems Group are many. There are always factors in the University and the marketplace which are beyond our control. The issues are often complex both technologically and politically. Our customers are diverse from the standpoint of access, computer literacy, and need. We face the dilemma of desiring to embrace the newest technologies while maintaining a practical foundation of core services. The Library Systems Group will work as a team to counteract the problems faced by earlier coordinating groups and meet the challenges posed by the intense and changing electronic information environment.

The Library's stated goals include leadership in utilization of technology for the delivery of information services. A specific initiative for 1995/96 is to "increase coordination of aspects of information in electronic forms. . . and work toward a single front-end (gateway) . . . for access to all forms of information regardless of where located." The Library Systems Group is charged with leading this initiative.

Guidelines

The Group will operate as a team to establish a vision and a long range plan for the delivery of electronic resources.

The Group will treat as its primary customers those people within the library system who are the providers and implementors of electronic resources, including the Director of Libraries.

The Group will use a quality improvement process for every project it undertakes or delegates. This process involves planning, implementing, evaluating and revising each project. Part of this process will involve eliciting feedback from the Group's primary customers as to the effectiveness of the Library Systems Group. Additionally, end-user feedback will be gathered as needed for evaluation.

Resources

To carry out its charge effectively the Group will require a commitment of time and expertise of its members. For specific projects to be implemented effectively, the Group will also need the commitment to the success of each project by the Group's primary customers and process owner. The process owner is the person who has the authority and resources to support the group's recommendations.

Although the work of the Group will not require any funding it is possible that specific projects may require new or re-allocated resources for implementation.

Desired Results

The Library Systems Group will coordinate, organize, oversee, and monitor electronic information resources for University of Kentucky Libraries by:

- Checking progress against benchmarks
- Facilitating communication among information providers within the library system and throughout the university community
- Working toward a common interface for all electronic information
- Engaging in long range planning
- Making and approving policies
- Setting priorities
- Setting criteria for new proposals

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- Advising the Director on new proposals
- Chartering task forces to implement new projects
- Expediting plans
- Following and monitoring projects/plans
- Bringing issues/projects to closure

The Library Systems Group will work closely with the following:

- The Director of Libraries (Process Owner)
- NOTIS Committees
  - OPAC/MDAS
  - Circulation Policies and Procedures
  - Bibliographic Policies and Procedures
  - Acquisitions
  - Serials
  - LIB 2's
- Electronic Resources Staff
- Student Computing Services
- Subject Teams
- Functional Units
  (Departments, Libraries, Teams/Committees, etc.)
- FACTS Center
- Communications and Network Services
- Computing Center
- Information Systems Help Desk
- Sector Liaisons
- Technology Coordinators
- Academic Unit Computing Centers
  (Ag Data Center, Math Sciences, etc.)

This page was last updated October 25, 1999. For more information or to make a comment, e-mail Tari Keller at keller@pop.uky.edu.

URL: http://www.uky.edu/Libraries/lsgcharter.html

[Return to Library Systems Group Home Page.]

UNIVERSITY OF KENTUCKY LIBRARIES

Collections Policy Committee Subcommittee on Electronic Databases (CPCSED)

Mission

- The CPCSED is a standing subcommittee of the Library of Congress Collections Policy Committee (CPC).
- The Subcommittee has general responsibility for issues related to implementing Library of Congress selection of and access to non-LC produced electronic databases, regardless of format (e.g., networked CD-ROM, online remote host, Web-based subscription services)

Membership

- Subcommittee membership is representative of the Library of Congress electronic resources user community (for example, it includes representatives from Area Studies, Public Services Collections, CRS, Cataloging, and Law, as well as acquisition specialists from Anglo-American Acquisitions Division and Copyright Acquisitions.) Members are nominated by the CPC. Members are those responsible for implementing use of electronic resources in their respective service units.
- A designated member of the CPC serves as the liaison to the Subcommittee.

Goals

- Assists the CPC in developing the Library's collections by identifying new electronic information technology and services; and recommending current allocation of existing resources.
- Focuses on quality, cost-effective use of electronic resources that, for any number of reasons, benefit from consideration on a basis that crosses service unit lines.
- Works with outside electronic resources, i.e., not databases or Internet sites produced in-house.
- Serves as a forum for the communication, planning and decision-making related to implementing acquisition of and access to non-LC electronic resources.
- Makes recommendations involving policy, based on analysis including testing and cost-benefit evaluations, to the CPC regarding improved electronic resource access and acquisition topics.
- Serves as a forum for sharing acquisitions reports from the relevant units (Anglo-American Acquisitions Division and Copyright Acquisitions).

NETWORKED DATABASES COMMITTEE (NETDOC)

Membership

Donna Breyfogle, Associate Director, Collections
Brian Greenberg, NETDOC Developer
Judy Harper, Sciences & Technology Library (Chair)
Carell Jackimiek, LETS Support Services
Sophy Louka (Secretary)
Susan Miller, Associate Director, Information Services and Systems
Pat Nicholls, Coordinator, BISON Services
Mark West, Serials

Members representing unit libraries will be selected by the Chair from among academic librarians in the units. Their term of service will be for two years, staggered to provide continuity for the Committee.

Karen Clay, representing the Sciences & Technology, Engineering and Agriculture Libraries (Fall 1998-) *(Jan-April 1999 Mora Gregg, while K. Clay is on maternity leave)
Dennis Felbel, representing the Architecture/Fine Arts, Law, Management and Music Libraries (Fall 1998-)
Gary Strike, representing the Dafoe, Education, St. John's and St. Paul's Libraries (Fall, 1998-)
Carol Cooke, representing the Neil John Maclean Health Sciences Library (Sept. 1997-)

Terms of Reference

The NETDOC Committee will coordinate the networking of CD-ROMS, magnetic tapes and other computer-readable files and the provision of related services for the libraries, in consultation with Information Services & Technology and the Faculties.

To fulfill its mandate the NETDOC Committee will take on the following roles with respect to networking databases:

Planning

1. Define current needs and anticipate future needs.
2. Identify forthcoming technologies, services and products.
3. Identify opportunities for funding.
4. Identify appropriate time frames for the adoption of networked products and services.
5. Review expenditures against the NETDOC budget and the fund for NETDOC external funding.
6. Identify and monitor networking activities at the UM and assess them for their impact on the NETDOC service.

Coordinating/Facilitating/Consulting

1. Coordinate communications between the UM libraries and IST, Lan Administrators, the Faculties and external organizations.
2. Ensure the concerns of all library units are presented at NETDOC meetings.
3. Consult with bibliographers and the Collections Committee to select and priorize databases for inclusion in NETDOC.

Recommending

1. Make recommendations to the Director of Libraries on the nature and policies of the NETDOC service, including:
    a. criteria for inclusion of databases;
    b. service policy.
2. Compile a list of recommended NETDOC databases by applying established selection criteria.
3. Make recommendations to the Collections Committee on acquisitions funding needs on an annual basis.
4. Provide direction to LETS NETDOC and LETS ITD for the development of NETDOC.

Informing

1. Report on NETDOC activities to the Libraries Management Advisory Committee as appropriate.
2. Keep Libraries staff and users informed, via existing channels of communication.

Publicizing

1. Promote the NETDOC service to members of the UM community.
2. Publicize the NETDOC service to external agencies and the general public, within the guidelines of the UM Libraries Mission Statement.

January 1999 (rev.)

McMaster University Libraries

DIGITAL INFORMATION SERVICES

INTRODUCTION

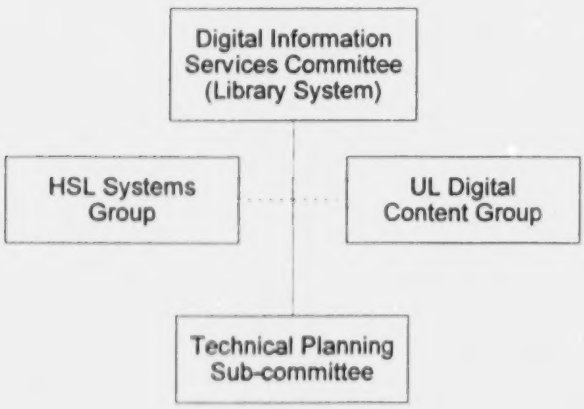
This document describes organizational and budgetary issues and principles associated with the development of a framework to achieve the following objective in the University Library System:

> "To provide in-library and remote access to centrally-acquired digital information resources to any member of the McMaster University community."

Digital information services are complex. The Library system must develop and actively sustain a University-wide approach to the provision of this aspect of library service. The complexity of these services arises in part from advancing technologies, the variety of marketing practices of multiple content and service providers, the work underway to develop provincial, national and even international purchasing consortia in a field in which multiple "cooperatives" and alliances already exist, the relative autonomy of the libraries on the campus, and the history of local decision-making.

It is impossible to construct a document which affords answers to all questions; and in any event circumstances will change over time. What is attempted here, therefore, is the description of a framework, a direction and some principles that can be used by all involved to guide and inform the building of consensus and the making of decisions. More detailed guidance and illustrations of some of the principles are provided in an *Appendix*, which will be of use mainly to the Digital Information Services Committee. To the extent these principles and the accompanying appendix can be improved without constraining our ability to work effectively—and nimbly, as necessary—they will be revised in the light of experience.

1. ORGANIZATION STRUCTURE


Digital Information Services Committee (Library System)
HSL Systems Group
UL Digital Content Group
Technical Planning Sub-committee

1.1 DIGITAL INFORMATION SERVICES COMMITTEE (DISC)

(replacing the Data Planning Group)

RESPONSIBILITIES:

- Principles, guidelines, criteria and standards for electronic content and delivery in the Library system.
- Inter-institutional and consortial arrangements.
- Discussion of plans regarding infrastructure improvements for both UL and HSL, as appropriate.
- Commitments and expenditures against the Central Digital Resources Fund (CDRF).

Develops and maintains principles and guidelines for the acquisition of (or access to) digital information. In a multi-institutional or consortial context, the group and its members participate directly and through advice to the University Librarian in shared selection, acquisition, servicing and planning activities for resources to be held/accessed in common. Locally, the group ensures appropriate explorations and consultations, and that all electronic services continue to be organized for ease of use.

MEMBERSHIP:

† Associate University Librarian (Chair)
† Director, Health Sciences Library & Computing Services
† Assistant University Librarian (Reader Services)
† Assistant University Librarian (Collections)
Digital Resources Specialist
† Science & Engineering Librarian
Library Systems Manager
Head of Collections & Technical Services (HSL)

Note: *Expansion of the membership increases the challenge of scheduling meetings when all can be present. As the three additional members report directly to one of the persons on the existing Data Planning Group, the concept of a "core" (†) and a "full" committee may facilitate effective meeting planning while moderating the demand on the time of individuals.*

1.2 TECHNICAL PLANNING SUB-COMMITTEE (SYSTEM-WIDE)

RESPONSIBILITIES:

The committee is responsible to the Digital Information Services Committee, and its members to their respective libraries for :

- Ensuring the exchange of information on data access infrastructure development;
- Developing and proposing infrastructure improvements for both UL and HSL;
- Co-ordinating the implementation of data access with planning for servers and network capabilities, security requirements, software tools, etc.

MEMBERSHIP:

Library Systems Manager (Chair)
Library System Administrator
Microcomputer System Specialist (UL)
Computer Systems Specialist (HSL)
Digital Resources Specialist

1.3 UL DIGITAL CONTENT GROUP

RESPONSIBILITIES:

- Development and maintenance of an acquisition/licensing priorities listing.
- Advising the AUL (Collections) on the expenditure of appropriate acquisitions funds.
- Maintaining awareness and knowledge of existing and emerging digital information products. Co-ordination of vendor presentations and demonstrations.

MEMBERSHIP:

Assistant University Librarian (Collections), Chair
Manager, Reference Services
Information Services Librarian (Thode Library)
Business Librarian
Acquisitions Librarian
Digital Resources Specialist

1.4 HSL SYSTEMS GROUP

RESPONSIBILITIES:

- Planning for the implementation of electronic services in the library.
- Setting priorities for the purchase of hardware and software.
- Setting priorities for project planning.

MEMBERSHIP:

Director, Health Sciences Library & Computing Services
Head of Systems/Curriculum Integration Coordinator (Chair)
Head of Public Services
Head of Collections & Technical Services
Computer Systems Specialist

University Library Selection Structure

Roles & Responsibilities

E-Team

- implementation of the proposed new selection and funding model for electronic resources
- ongoing monitoring of electronic resource and technology trends
- review proposals for which local resources are needed
- analysis of large-scale licenses or decisions spanning multiple teams
- the ongoing refinement of principles associated with access
- coordination between and among teams
- analysis of licenses, compilation of guidelines for licenses
- ongoing revision of the Electronic Resources Guide for Selectors
- analysis of competing priorities raised by teams
- assistance for teams on selection decisions where concensus cannot be achieved within a team

Core Team

- primary responsibility for those titles which are:
  - truly reference
  - totally bundled
  - multi-disciplinary
  - primarily undergraduate in nature
- serve as the review body for major purchases and make recommendations to the E-Team
- create processes for input, review and referral as resources are discussed

Subject Teams

- serve as the primary review body for domain-specific resources
- serve as the primary decision-making body for domain-specific resources which do not require local resources
- submit proposals to the E-Team for domain-specific resources which require local resources
- establish mechanisms to ensure communication with other teams to ensure adequate input for decisions which may impact other areas and to avoid duplication of effort
- advise NISC on implemention issues

Technology Liaisons

- serve as resource for technical questions
- assist in identifying questions relative to technology elements of selection decisions
  - appropriate access systems
  - evaluation or explanation of data formats
  - functionality of systems
  - ability to integrate systems locally
  - cost/benefit of technology/access options
- assist teams in preparing budget requests related to technical aspects of e-resource decisions
- assist in implemention of testing of potential resources

Electronic Resources Steering Team

"E-Team"

Charge

The University Library's structure for the evaluation, selection, funding, and management of electronic resources will be reorganized to follow a team-based model. In this new structure, the primary responsibility for these four functions resides with two team structures:

- Subject-based teams comprised of selector/service librarians will evaluate, select, fund, and manage electronic resources which logically fall within their subject domain.
- A Core Team will be responsible for evaluation, selection, funding, and management of electronic resources which are relevant to multiple disciplines and/or by the general user community.

This structure recognizes that electronic resource decisions are inherently interdisciplinary and that decisions involve more than content. Rather, teams are expected to evaluate resources based on content, delivery platform options, and functionality. In addition, if attendant costs (e.g., local systems, storage, or software costs) are involved, the team will be responsible for developing proposals for review by the E-Team. Teams also have long-term responsibilities vis-à-vis these resources; notably, teams are expected to monitor and make decisions about the functionality, use, cost, and alternative options related to electronic resource commitments.

Within this context, the central E-Team is charged to:

- monitor trends in licenses, electronic services, and publisher activity and serve as an "informed" advisory panel for the Library related to electronic resource selection and management decisions.
- evaluate (with appropriate consultation) complex license offers and recommend decisions for action--e.g., large, bundled offers which impact multiple libraries or which involve complex consortial issues.
- review proposals from subject/core teams for resources which have attendant costs and recommend priorities to the Executive Council.
- assist, when necessary, in decision processes which involve two or more teams.
- identify, review, and make recommendations on issues relative to licenses and electronic resource selection processes and policies (recommendations directed to the relevant Library committee).

Appointments to the E-Team are not based on a representative structure. Rather, members will review issues based on a Library- and campus-wide perspective. Terms of appointment will be staggered to ensure continuity. An evaluation of the e-team's charge and structure will be conducted at the end of the first year.

COLLECTION DEVELOPMENT & MANAGEMENT GOALS, 1999/00

Team Mission

The Collection Development & Management team of eight librarians and eight support staff leads the Libraries and the campus in providing information resources to support university teaching, learning, research, and service. The UTK Libraries collection is all the information resources that the library makes accessible for its users. Primary users are the students, faculty and staff of the University of Tennessee, Knoxville. Some information resources are purchased for retention in the local collection, while others are obtained through licensed remote access from commercial vendors, or borrowed from other libraries. The Libraries' faculty and staff specialize in the access, management and use of information. As collaborators in the process of scholarly communications, the CDM team engages the UTK academic community in discussions about contemporary information issues such as intellectual property rights, journals cost inflation, and the migration from print to electronic formats.

Librarians acquire, organize, manage, and preserve information resources for access and use by the University community. Subject librarians work with teaching faculty to identify and select information resources that are made available through the University Libraries. Allocation of funds for the University Libraries' information resources balances support for curricular needs and research, taking into account the varied nature of academic disciplines. While a major portion of funding is used to purchase books and journals in print or microfilm, the electronic component of the collection is growing as the amount of scholarly information available in electronic form increases.

The CDM team allocates the resources budget for the purchase of materials held and accessed by the Libraries. Management of the collections includes determination of formats in which resources will be available for library users, review of materials that require preservation treatments, determination of appropriate locations for the physical collection, replacement of worn or damaged materials, and cancellation or withdrawal of resources. CDM staff members manage fund data in the acquisitions system according to subject librarian instructions, and they provide information about expenditures. The team collects, synthesizes and distributes data to support collection management decisions, and collaborates with subject librarians to produce collection assessment reports for UTK program reviews and accreditation. The CDM team facilitates collaborative collection projects with partner libraries.

Goals

Collection Management Information and Assessment

1. Revise collection policy statements to include current philosophy of collection development and management, as well as environmental factors, such as university areas of focus and trends in scholarly communication.
    - Subject Groups identify statements to update during FY 99/00.
    - CDM Coordinator prepares policy statement template for consideration by CDM Advisory Group.
    - Ten statements completed by May 31, 2000.
2. Collect, synthesize, and share information with Subject Librarians to support collection development and management.
    - Continue to improve data gathering on the use of databases (all electronic products). Electronic Services Coordinator reports current status of data gathering to CDM Advisory Group in Fall 1999. CDM Advisory Group identifies data needed, and invites appropriate librarians to plan reporting process. Regular reports begin in January 2000.
    - Conduct a collection assessment workshop. Select small parts of collection. Focus on the purpose for UTK collection assessment, ways to gather and synthesize data, and opportunities for incorporating data into decision-making.
    - Make the Journals Database accessible via the NT network.
    - Develop brown bag sessions to help Subject Librarians (e.g. GOBI, general acquisitions processes, CDM procedures, collection issues).
    - Complete the non-periodicals serials review.
3. Develop philosophy & procedures for weeding in coordination with Technical Services
    - CDM Team Leader presents draft collection philosophy statement to CDM Advisory Group for discussion. Review with other groups held as needed.

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- Collection Management Coordinator presents draft philosophy of weeding statement to CDM Advisory Group for discussion.
- Collection Management Coordinator drafts weeding procedures. Philosophy statement and procedures discussed with Subject Librarians.
- Subject Groups identify areas for weeding during FY 99/00.

4. Evaluate expenditures for information resources to determine most effective ways to allocate the acquisitions budget.
   - Revise and correct serials and journals lists for each fund.
   - Review overlap of electronic and paper sources.
   - Provide monthly expenditure reports to Subject Librarians.
   - CDM staff update the acquisitions system with fund code changes, additions to funds, and fund transfers.
5. Work closely with Technical Services to review and assess outsourcing of cataloging and/or other processing functions.
6. Work closely with Technical Services on the use GEAC Advance to support collection management activities.
7. Review the philosophy of the Libraries gifts-in-kind service and procedures for processing gifts.
8. Develop a process for cross-disciplinary review of materials recommended for withdrawal from the collection.
9. CDM Coordinator assumes responsibility for managing approval plans.

Communication with the Campus

10. Engage Subject Librarians and the campus community in the exploration of current issues regarding collection development and management.
    - Host a meeting for Library Representatives each semester.
    - Participate in planning and implementation of Electronic Academy seminars.
11. Create CDM packets of information for new UTK faculty and new library representatives.
    - Hold an orientation session for new library representatives.
12. Lead campus in planning for content/format/access to collection of the future.
    - Team Leader meet with campus department heads to exchange information about departmental priorities and goals.
13. Develop a plan for raising public awareness about preservation issues.
    - Offer the Preservation Matrix suggestions for priorities in public awareness about preservation.
    - Through library newsletters, messages to library representatives, and discussions with Subject Librarians inform library staff and the public about the proper handling of library materials.

Improve Access to Information Resources

14. Lead library and campus discussions regarding the most effective access to electronic journals and other networked resources.
    - Participate in library planning for cataloging electronic journals.
    - Continue maintenance of the Journals and Periodicals pages on the Library web pages until journal titles are cataloged. Then, review the need for the pages.
    - Develop a procedure for librarians to select Web-based journals without cost to be incorporated into the collection.
15. Improve access to Libraries research collections in micoformat by purchasing cataloging.
    - Place orders for cataloging that has been identified by the Subject Librarians as top priority.
    - Identify additional cataloging for purchase during FY 99/00.
    - CDM Coordinator develop instructions for Subject Librarians to create and print acquisition reports for their funds.

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16. Improve access to libraries research collections in microcard format.

Preservation

17. Hire and train Preservation Librarian.
18. Head, Preservation and the Preservation Matrix plan a long-term preservation program for the Libraries.
19. Include preservation policies and procedures on the CDM Web pages.
    - Develop policies for identifying books whose condition prevents circulation.
    - Develop procedures for Subject Librarian review of brittle books, including options available for replacement.
    - Develop policies for placing mylar covers on books.
20. Head, Preservation write a "white paper" about the UTK Libraries preservation needs for discussion with LMG and other library groups.
21. Develop a plan for regular cleaning of Hodges stacks.
22. Reshelve the oversize materials on shelving designed to provide appropriate support.
23. Determine the most appropriate format for storing periodical backfiles.
24. Identify preservation statistics that should be kept and reported.
25. Augment the REPL fund from endowed funds to support replacement of lost, missing, and damaged library materials.
26. Develop a plan for integrating Storage services into team responsibilities.

Collaborative Collection Development

27. Participate in cooperative collection development and management projects with the Information Alliance, TENN-SHARE, ASERL, and TALC.
    - Develop a prototype plan for cooperative storage with Information Alliance partners. Develop a plan for sharing bound backfiles and implement on a small scale.
    - Introduce Information Alliance counterparts to compare collection descriptions and to begin appropriate collaborative projects. Include preservation issues and counterparts.
    - Provide trial access to electronic products available through consortial arrangements and make consortial purchases when needed resources can be purchased at a competitive price.
    - Participate in selection of resources and the development of cost-sharing models with TALC libraries.
    - Participate in ASERL discussions about shared access to resources, and take advantage of attractive purchase deals.

Team Support

28. Invest in equipment for staff.
    - Upgrade computer workstations for Aleksandra Bass, Deborah Thompson-Wise, Sara Foster, Preservation Office/Student Workers and Preservation Librarian.
    - Upgrade or acquire printers for Sara Foster, Teresa Gillispie, Preservation Office/Student Workers, and Shirley Galyon.
    - Identify and acquire computing software needed to support staff assignments.
29. Schedule training sessions to prepare staff for using systems and software that support their assignments. Training needs have been identified to date for:
    - Access (Microsoft) or other relational database
    - Word (Microsoft)
    - Reportsmith (Horizon)
    - Project (Microsoft)

- LARS (binding management software)
- Web authoring software
- Excel (Microsoft) or other spreadsheet software
- Photoshop or other image capture and manipulation software.

UTK Library Catalog || Search this Site || Library Hours || Suggestions & Comments

Comments to: webmaster@aztec.lib.utk.edu
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UNIVERSITY OF TEXAS

http://staff.lib.utexas.edu/divisions/circ/CDMG/MinutesIndex.html

Collection Development Management Group

What Is CDMG ?

CDMG serves as both an advisory and decision making group. CDMG considers requests and establishes funding priorities for new electronic products and services. It receives the reports of Evaluation Teams that have studied possible new products and services. It establishes priorities for limited drive space on the CD-ROM network. In the event of a serials cancellation project it considers serials cancellation recommendations from the Bibliographer Clusters, and serves as a forum for the discussion of cancellation and subscription priorities for centrally funded serials including electronic products and services. It provides a forum for the study of various library-wide collection issues, convening task forces and sub-committees as appropriate both to make recommendations, establish interim procedures, and upon occasion, to resolve policy issues.

Members 1998-99

Dennis Dillon
Head of Collections & Information Resources

Jo Anne Newyear-Ramirez
Assistant Head of Collections & Information Resources

Merry Burlingham
Chief Bibliographer and Collections Officer

Ronda Rowe
Networked Information Resources Bibliographer

Rue Ramirez
Asst. Head of EIPO, Licensing

Robin Fradenburgh
Head of Technical Services

Anita Farber
Head of Acquisitions

Paul Terry
Serials Unit Acquistions

Brian Quigley
Law Library

Beth Kerr
Undergraduate Library

John Tongate
PCL Reference

Paul Rascoe
EIC, PCL Reference

Margo Gutierrez
Area Studies Cluster Coordinator

Janine Henri
Fine Arts Cluster Coordinator

Larayne Dallas
Science Cluster Coordinator

Dorothy Carner
Social Sciences Cluster Coordinator

Projects 1996-99

Peter's Electronic Journal Addition Project
E-Journal Strategy Draft
Suggest an E-Journal
Serial Issues for CDMG
Transformation Fund 97-98

Meeting Minutes

- November 15, 1996
- June 20, 1997
- October 31, 1997
- December 5, 1997
- February 20, 1998
- November 20, 1998 Agenda
- Highlights of Nov. 20 and Dec 4, 1998 Meetings
- Databases Under Consideration : December 4,1998
- March 26, 1999 Decisions to purchase 4 more ports Sociological Abstracts, Aquatic Science and Fisheries Abstracts $5,500, Dow Jones fund 2 simultaneous users ($15,800) and to reserve funds for 3 additional users ($23,700).
- Clarification on Dow Jones Order
- Databases - List of Potential Purchases Includes Evaluations as they are completed.
- May 28, 1999 - Includes a list of databases to be evaluated and who will be evaluating them. Evaluations will be due June 18, 1999.
- June 18, 1999 Includes purchase decisions.
- July 9, 1999 Decisions to purchase Computer Select (5 users = $2550, will use credit for CDROM ($1250).), Index to Christian Art(Cost $1000), and LISA (Library and Information Science Abstracts)(2-4 users $2,650).

Newsbites

- August 5, 1998 (Database Pending Update | Book Budget)
- September 30, 1998 (Consortia)
- December 1, 1998 (Web of Science | Faculty Library Committee)
- February 26,1999 (Elsevier's Science Direct Proposal | Web of Science | List of Potential Databases)
- March 8,1999 (Update on National deals)
- May 15, 1999 (Dow Jones Update)
- May 21, 1999 (Voting Priorities and Database Types)
- June 1999 LION Upgrade
- August 1999 Update - FirstSearch Renewal, Elsevier Science Direct, ***Table Base*** , and ***Business & Industry*** , and ***ISI Web of Science*** .

Evaluation Reports and Procedures

- Database and E-Journal Evaluation Procedures and Policies NEW
- General Libraries Digital Library Collection Development Framework
- Databases - List of Potential Purchases Includes Evaluations as they are completed.
- Database Holdings - Peer Comparisons NEW
- Electronic Journals -- Principles of Selection and Strategy Draft

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- Reports and Evaluations
  - Dialog@Carl Evaluation Report
  - Duplicate Serials 1998-1999
  - Galenet Evaluation Report
  - E-Journal Aggregator Test Evaluation Report Written by Ronda Rowe.
  - ISI Web of Science Evaluation Report Written by David Flaxbart.
  - June 1999 Evaluations: Includes ABSEES, Alternative Press Index, CIAO, Computer Select, Dictionary of Art, E-HRAF, HaPI, IHS Industry Standards, Index to Christian Art, Internal Index to Performing Arts, LISA, Poole's Plus, TRIS Transport, Women's Resources International, OVID Biomedical Collections I,II,III,IV and Mental Health
  - Lion Evaluation Report
  - MCB University Press E-journal Consortia Evaluation
  - Serials Costing over $5,000 1998-1999
  - Serial Options : Summary of presentation at November 20,1998 CDMG meeting
  - UT System Elsevier Holdings Chart

CIRD's Home Page

August 18, 1999

Selection Criteria

Criteria for Purchasing Electronic Databases

The Electronic Access Committee will review and purchase from its available funds databases for campus-wide access based on the following general guidelines:

1. The database should be of interest to a broad campus constituency and of general interest rather than of narrow focus.
2. The database should be easy to use. It should not require special software, special technical assistance, nor require extensive user instruction. Web access is the preferred standard.
3. The database should correspond to the collection development policies for relevance to the overall collection and in non-duplication of other resources, including those made available by Duke's Independent libraries.
4. The database price should be evaluated to the extent possible in terms of expected usage, the critical nature of the resource, and in terms of the additional, unique value (such as searchability) added because of the electronic format. Preference may be given to shared, or consolidated, funding.

Return to Main Staff Page

Search the Staff Pages: Search

Site Index

Page Author: Debi Eason
Last Update: Friday, 08-Oct-99 16:09:20
<http://www.lib.duke.edu/staff/eac/purchase.html>

ELECTRONIC RESOURCES

COLLECTION POLICY

Electronic resources in support of teaching, learning and research include all the varied forms of digital, optical and magnetic technologies. The electronic resources policy, which addresses the expenditure of the Library System's Data budget, is one element of the Library's overall collection development policy. The selection of electronic resources for the Libraries' collections poses service, legal, economic and technical issues.

SELECTION FACTORS

The Library System will give first priority to collecting those electronic products that will have a demonstrable impact on McMaster's credibility as a leading educational research institution. It follows that those electronic products will be collected that support the subject areas and disciplines where the University maintains graduate level research (designated as "A" collection level) or where other academic strength has been identified as, for example, in the creation of a "Centre of Excellence" or a major educational programme.

The primary focus of the electronic collection will include the major tools that will be useful to a broad spectrum of users in those subject areas or that offer important in-depth coverage for one or more subjects.

Within these parameters, the electronic collection will include locally-owned and controlled resources, and resources available through consortial arrangements. A high priority will be given to providing electronic reference tools and metadata and to complementing these resources with services such as document delivery, interlending services, and electronic full-text products and services.

Specific factors in the selection of electronic resources are described in the attached Appendix.

APPENDIX

SELECTION FACTORS FOR ELECTRONIC PRODUCTS

SERVICE SUPPORT FACTORS

There are several factors which must be considered in the selection of electronic products for the Library, including access and licensing levels for use, product quality and ease of use, technological characteristics, and product support by the vendor. The following standards are preferred in the acquisition of available products. However it is recognized that judgement will be exercised and that some good and useful products will be acquired that do not meet all or most standards.

ACCESS AND LICENSING:

- user definition includes all McMaster community without restriction
- product will be made available in campus libraries
- allows for walk-in patrons (non-McMaster library users)
- remote access permitted for McMaster community campus-wide and off-campus
- security standards and obligations mutually acceptable
- authentication requirements reasonable and achievable
- user rights and restrictions appropriate (eg. saving, downloading, printing, interlending, etc)
- price, specifics of access options and price-related guarantees acceptable
- access warranties from supplier included if applicable (eg, internet access)
- data ownership, software ownership and rights acceptable
- credit toward updated technological format (eg. CD to WEB)
- provision for reasonable replacement of data damaged in use

PRODUCT QUALITY:

- positive external review and/or internal assessment
- service is reliable and current
- product functions as expected
- product testable through trial or demo access
- mature interface appropriate to the application
- adequate customer aids (manuals, online, user guides, templates)
- reasonable response times to system queries

TECHNOLOGICAL CHARACTERISTICS:

- portable and standards-based data formats (Z39.50, HTML, MARC, SGML, ASCII....)

- usage levels can be routinely monitored
- campus compatibility of access platform and network environment requirements
- ability to secure data, public search software and station operating system
- access not limited to proprietary client(s)
- distributable client, or browser access possible
- can be used with campus fee-charging mechanisms where so licensed
- storage requirements known and projectable

SERVICE SUPPORT FROM VENDOR:

- ease of loading and maintenance
- ability to prepare access, orientation, patron supports
- vendor training or training site available
- required ancilliary services feasible (printing, downloading, ftp, manipulation software...)
- no requirement for service-specific account management
- no requirement for stand-alone installation
- good troubleshooting support from vendor

ADDITIONAL FACTORS

The following additional factors will be evaluated in the consideration of the acquisition of electronic products:

- an effort will be made to start online subscription services in January or July if possible
- electronic resources are subject to a regular review cycle and assessment
- in cases where only electronic format will be retained, subscription overlap with print will not normally exceed twelve months
- electronic products which replace discontinued print products get priority consideration
- to displace print, electronic tools must be cost-effective or result in a significant improvement to service
- faculty-requested tradeoffs against other formats are always considered
- electronic resources are normally added to the MORRIS catalogue in the same way as print

October 1998

NETDOC CRITERIA WORKSHEET

This worksheet is to be completed by bibliographers when submitting requests for new networked resources. Information provided here will assist the NETDOC Committee in evaluating the material for acquisition.

Resource Title:	
Recommended subject headings for NETDOC menus:	
Bibliographer:	Date

Section A: Collections Data

1. Describe how the database would serve the primary user group, and indicate the number of Departments, Institutes and Centres in which primary users are found. The *IS Book* lists departments. Institutes and Centres should be identified separately.

   1-5 ☐ 6-10 ☐ 11-20 ☐ 21-30 ☐ 31-40 ☐ 41-50 ☐ 51-60 ☐ 61-70 ☐ 71-80 ☐ >80 ☐

2. Indicate the number of primary users for whom the database would be essential for their work and studies.

   1-999 ☐ 1000-1999 ☐ 2000-2999 ☐ 3000-3999 ☐ 4000-4999 ☐ 5000-5999 ☐ 6000-6999 ☐ 7000-7999 ☐ 8000-8999 ☐ >9000 ☐

3. Describe how, and to what extent, the database would serve the University Community outside the primary user group.

4. Describe how, and to what extent, mounting this resource on NETDOC would increase accessibility for the primary user group. For example, geographic accessibility.

5. Describe how, and to what extent, this resource overlaps or duplicates coverage of existing resources on NETDOC. If unique, specify in what way.

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Section B: Financial Data

Enter Canadian dollars only. To convert US multiply US amount by 1.55

Do not include taxes.

Cost Structure:

Base cost for subscription. *Running on calendar year* ☐ *odd term* ☐	$
One-time costs *(please specify)*:	
Additional networking cost for _____ simultaneous users.	
Additional dial-in cost?	
Specify all other costs:	
Total cost	$

Proposed Funding Structure:

NETDOC funding	$
OTHER library funding, *fund ID:* _____	
EXTERNAL funding (*External* to *library* funds)	
Total	$

Section C: Holdings Data

1. Data type: Bibliographic ☐ General Reference ☐ Full Text ☐ Image ☐ Graphic ☐

   Other:

2. Monograph ☐ Serial ☐
3. Upon purchase, do we own the material (License) or hold a Lease only? License ☐ Lease ☐
4. What is the coverage? *(Eg: Current + 2 years; 1980-present)*_____
5. Do we own or subscribe to a print equivalent of this title? Yes ☐ No ☐
6. Is there a *with print* discount available for this title? Yes ☐ No ☐
7. Do you intend to cancel the print subscription? Yes ☐ No ☐
8. Do we own or subscribe to the electronic version of this title? Yes ☐ No ☐

Section D: Technical Data

1. Available Clients: DOS ☐ Windows: 3.1 ☐ NT ☐ 95/98 ☐ Mac ☐ Dial-in ☐

   Web Browser: Netscape ☐ Version _____ Internet Explorer ☐ Version _____

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2. Server: Novell ☐ Version _____ ERL ☐ Intranet ☐

   Internet ☐ http:// _____

3. Access security options: Userid/Password ☐ IP Address ☐ Other:

4. Full Text file formats: HTML ☐ PDF ☐ Full Image ☐ Other: _____

5. Update format: CD-ROM ☐ DVD ☐ Tape ☐ FTP ☐ Remote ☐

6. Number of discs or tapes: _____

7. Frequency of updates: Annual ☐ Semi-annual ☐ Quarterly ☐ Monthly ☐ Other: _____

8. How is the database stored: CD-ROM ☐ Hard Drive ☐ DVD ☐ Remote ☐

Section E: Documentation Required

1.	Signed funding agreement between donor and UML.	Yes ☐	No ☐
2.	Trial or demo results.	Yes ☐	No ☐
3.	Publisher's technical specification sheets included .	Yes ☐	No ☐
4.	Sample license agreement.	Yes ☐	No ☐
5.	Publisher's brochure.	Yes ☐	No ☐

6. Bibliographers are required to provide the NETDOC Committee with user help sheets, for approved databases, by August 30. This documentation will be routed to Reference and technical help desks throughout the Libraries.

Section F: Publisher's Contact Person

Name: Phone:

Email: Fax:

Other Comments Attached Yes ☐ No ☐

Revised: March 1, 1999

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UNIVERSITY OF MARYLAND LIBRARIES

Collection Development Policy Statement: Electronic Resources

Draft revision

Introduction
General Selection Criteria
    Guidelines for free Web-based resources
    Guidelines for electronic journals
Selection
Contracts/Licenses and Interpretation

Introduction

Electronic resources are of increasing importance to faculty and students. With the rapidly growing body of electronic information, what is universally available must be considered in relation to what should be available on the University of Maryland campus. It is therefore clear that successful collection development, regardless of media, will reflect academic priorities already established at the campus level. The Libraries are committed to taking a leadership role in collaborating with academic departments in providing electronic resources to support instruction and research.

The University of Maryland Libraries are also part of the University System of Maryland(USM) library consortium. As part of USM, the Libraries cooperate in the provision of electronic resources to the USM community. As the Libraries and USM continue to explore collaborative efforts, selection criteria should continue to reflect the academic priorities for the campus. Electronic resources cooperatively provided to the USM user community are currently selected by the USM Council of Library Directors and the USM Electronic Resources Committee.

This document provides guidelines for selection and deselection, review and approval, acquisition, cataloging, and preservation of electronic resources. The selection, review and approval process addresses issues concerned with licensing, access vs. ownership, developing industry standards, and physical location of resources. Currently known material types are: CD-ROM, interactive multi-media, machine readable bibliographic, non-bibliographic and full text databases, software, E-journals, and other materials accessible on the Internet and elsewhere.

General Selection Criteria

1. Selection criteria need to be consistent with the UM Libraries' plans for establishing an electronic information environment.
2. Electronic resources considered for acquisition should fall within current collecting guidelines as described in the subject collection development policies and other appropriate guidelines.
3. All electronic materials should be relevant and appropriate to a significant segment of the Libraries' user community and reflect current academic needs and the University's mission. Special attention should be given to electronic resources that provide coverage of underrepresented or high-priority subject areas.
4. In the selection of electronic materials, the availability of appropriate hardware and software should be considered. For CD-ROM products, consideration also needs to be given as to whether the product is networkable. If additional software needs to be acquired to run the product, this factor should be noted.
5. If the electronic resource duplicates another resource already available in the Libraries, the proposed electronic resource should offer some value-added enhancement; for example, wider access or greater flexibility in searching. If a product changes format, it should be reevaluated and a selection/retention decision made in the appropriate manner.
6. In addition to the cost of the product, if any, the following hidden costs need to be considered: licensing fees, hardware, software, staff training and continuing education, cataloging, duplicating support materials, updates, maintenance, and any other costs.
7. The product should be "user-friendly," that is, provide ease of use and guidance for the user via appropriate menus, help screens, or tutorials.
8. The product should reflect the quality expected of similar materials in other formats.
9. Additional selection guidelines are available for
    - Free Web-based resources
    - Electronic journals

Selection

Primary responsibility for the selection of all electronic materials (including trial offers) for public use rests with the assigned subject selector using the above selection criteria. For electronic resources that are intended primarily for reference use, i.e., indexes, directories, the subject selector will coordinate selection with the Service Plus Coordinator. Requests from other librarians, library staff, faculty or other users should be directed to the relevant subject selector. The subject selector will work in close cooperation with the designated Electronic Information Services staff. If needed the selector will consult as well with the Technical Services

division, Information Technology division, Academic Information Technology Services, and with relevant faculty. Issues affecting broader disciplines will be coordinated by the appropriate subject team or teams.

The selector will contact EIS to ask the vendor to determine minimum software and hardware specifications and to arrange for testing of the product (unless the product is under $100). The selector will work with the EIS manager to arrange testing of the product using the electronic resources guidelines for guidance and involving others with relevant subject responsibilities. In addition, EIS will check licensing requirements and estimated costs with the vendor. In any discussions with vendors, selectors need to communicate that they are only requesting information and that final purchase authority rests with Acquisitions. Once an order has been placed, any questions about the status of the order should be directed to Acquisitions.

When the forms have been completed, the selector will send requests to their Team Manager. If the forms are incomplete, they will be returned to the selector.

The Electronic Resources Committee (ERC) develops and reviews policies related to the development of electronic resources. The Committee reviews requests as needed. The Electronic Information Services Manager will determine when ERC review is necessary. The ERC reviews all networked products and is responsible for reviewing products for transfer to other locations (i.e, the Electronic Information Center).

Selectors are responsible for reviewing ongoing products (before renewal) to re-assess for relevance to the collections, currency, ease of use, and cost. When a product no longer has value as part of the collections, it should be reviewed by the selector for deselection. Deselection for serial titles (most databases are treated as serials) must be made on the Serials Cancellation Form or for single-purchase items, the Monograph Transfer/Withdrawal Form. If a selector initiates deselection, notification, including relevant paperwork, must be made to the Electronic Information Services Manager. Any deselection decisions must consider collaborative acquisition and provision of electronic resources. In most instances, the costs of providing the resources are shared among institutions on a usage basis. A deselection decision by the USM Libraries which involves a resource provided in cooperation with USM or other institutions must include substantial justification and sufficient notification to collaborating institutions.

Once a new electronic resource has been cataloged and is available to the public, the selector will assist in promoting the resource to relevant faculty, students, and library staff. If staff training is needed, the subject selector will coordinate the training with the Electronic Information Services Manager. The Electronic Information Services Manager will coordinate overall publicity and training for new electronic resources. As needed announcements are submitted to FYI for campus distribution.

A copy of the Electronic Resources Selection Form and the Guidelines for Using the Electronic Resources Selection Form are included in Appendix A.

Contracts/Licenses and Interpretation

The subscription or purchase of a commercially-produced electronic resource normally requires negotiating a legally binding agreement between the Libraries and the publisher or vendor of that product. Commercial producers regulate subscriptions, purchases, and use through contracts and/or licenses. Typical elements in a license are: target population, concurrent use, output (printing and downloading), duration of contract, and liability for abuses. Negotiation of contractual or license agreements for electronic resources will be the responsibility of the Director of Collection Management and Special Collections. Licenses should be negotiated to meet the local needs and requirements of the Libraries. Negotiation, as well as interpretation of licenses, should be done in consultation with the President's Legal Office and the Electronic Resources Review Committee as appropriate. The Director of Collection Management and Special Collections has signatory responsibility for all licenses involving electronic resources. Copies of license agreements are maintained in Acquisitions with additional copies distributed to Collection Management, Information Technology, and Public Services as needed.

Selected Internet-accessible resources are governed by similar licensing requirements and are treated as any other electronic resources. For unlicensed resources endorsed for use by the Libraries, use is regulated by current copyright laws. These include, but are not limited to, shareware or free-nets. Current copyright statements should be clearly visible on a screen prior to connection to the resource or affixed to the Libraries' public computers.

Libraries, University of Maryland, College Park, MD 20742-7011 (301)405-0800
Please send comments and suggestions to the Libraries' Webmaster
Content questions should be directed to the Head, Electronic Resources Committee
Last edited May 20 20:31:45 1999

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Last Revised: April 19, 1999

Selection Guidelines for Web Resources

Summary

Building a web page is not unlike building a library collection. Those developing web resources, like those developing library collections, are faced with many decisions related to the purpose of their efforts, meeting user needs, the relationship among items collected, and the quality of individual items. ultimately, that which is selected is only a relatively small portion of the available universe of resources. Most selectors employ explicit or implicit criteria to guide their decisions although selection of library materials or web resources is not amenable to formulaic guidelines. Decisions are conditioned by numerous factors including the nature of the subject under consideration, the use of the collection, and the nature and needs of the anticipated audience.

Guidelines

The guidelines below are intended to illuminate some factors commonly considered by selectors experienced in identifying web resources or building web pages. Most selectors report that much depends upon the purposes of a particular project. Keep in mind that these are guidelines-not absolutes, and that a resource does not have to meet all of the criteria to be acceptable.

Quality

The quality of a web resource is variously indicated by its uniqueness, accuracy, comprehensiveness, lack of bias, or breadth of scope. high quality sites are often noted for the extent to which they include unique information and serve as a primary resource on a subject. Comprehensiveness is also indicative of a quality site although a compilation of well selected links is much preferred to a large number of links of mixed quality or usefulness. Sites that provide information are preferred to those that simply point to others although well organized and annotated collections of links are often judged useful by selectors.

Relevance

Consider the extent to which the resource is in scope for the subject and appropriate for the level and purposes of the intended users. Language and country coverage should be appropriate for the subject involved and the intended audience.

Organization

The design and organization of the site should be logical and visually appealing. Good organization is generally indicated by a consistency of graphics and style. Annotated links to other sites are considered useful to help the user move through the information.

Ease of Use

Assess if the site is easy to load in terms of consistency of access and speed of loading. If special software is required, is it linked to the site, easily located, and free? Navigational aids should be provided for longer pages and if searchable, the search interface should be readily understood.

Reliability & Stability

Consider the credibility, institutional affiliation, authority, status, and reputation of a site. The source of information should be clearly identified. If the site is the creation of an individual, the individual should be considered authoritative by such measures as institutional affiliation or peer review. A name and e-mail address of a contact person or group should be available for user contact.

Maintenance

Look for evidence, such as last update, that the site is regularly maintained, links are active and information is current.

Access Restrictions

Consider the impact of subscription fees for commercial sites or other possible barriers to access such as registration requirements, time limitations, or stringent copyright restrictions. While such restrictions are not necessarily a basis for exclusion of a site, the impact on users should be considered.

Local Orientation

Sites created by individuals or units affiliated with the University of Michigan should be given extra consideration to the extent that they may reflect local interests, needs, or resources or more commonly be referred to in the course of University activities. While it is important to keep in mind that most of the Library's pages are accessible nationally, it might still be useful to accentuate the local character of our efforts.

Aesthetics

It is undeniable that web resources are judged both for content and visual appeal in ways that differ from our evaluation of print scholarly resources. Excellent design clearly adds value to web pages although should not be a substitute for excellent content. It is sometimes useful to look at a resource with a text browser such as Lynx or with the images turned off to judge the extent and quality of content independent of graphics. It should be considered that Gopher resource and ASCII documents may have a high degree of scholarly value to specialized users.

Range of Perspectives

While of potentially great scholarly use, the web differs from print scholarly publications both in its accessibility to a wider audience and for the potential to engage readers in dialogue about posted materials. In the context of the web, scholarly resources-presented in traditional scholarly prose-can sometimes be enhanced by juxtaposition of more popular resources on a subject or by inclusion of comments from a broader and not necessarily academic audience.

Checklist for Acquisition of E-Resources

Options for accessing content

- Have all potential vendors, options been evaluated?

Communities of interest

- Is this of likely interest/impact to other sectors of University Library?
- Is this of likely interest to independent libraries on campus (e.g., Law, Business, Bentley?)
- Is this of interest to Flint/Dearborn?
- What are the options for sharing cost with non-University Library units?

License issues

- Is this a lease or ownership license?
- What are the conditions of use?
- What are the communities of user allowed?
- Confidentiality of user data?
- Usage reports?

Funding issues

- Is cost to be handled by single or multiple teams?
- Which team will take primary responsibility? Do funds need to be transferred?
- Is contribution from Business, law, Flint, Dearborn likely?

Training issues

- Will Library staff need training to use?
- Who will create user guides?
- Who will design, conduct staff training?
- Is user training needed? How to coordinate if multiple domains are involved?

Access issues

- Is this product a true equivalent of print source?
- Should this be linked in to the Library homepage, unit homepage?
- What level of access should be provided in MIRLYN?

CDMG Database Evaluation Procedures

California State Evaluation System

Once selected for serious committee consideration, every database receives written comments from several informed individuals in these areas of concern:

Information Database
Consider its functionality, the appropriateness of format (bibliographic/full text), the content of the information, the adequacy of coverage (retrospective, current), and its value to the entire community of users.

Search Interface
Consider the functionality and ease of use of the interface. Is it intuitive or is an excessive amount of training required? Are any features missing from the search interface?

User Support Services
If documentation is required for successful use of product, is it available, comprehensive, and well written? Is online help adequate and user friendly?

Cost
If cost is available, does it seem reasonable in terms of comparable products?

Accessibility of Service
Is access/connection to product reliable and stable? Is response time adequate?

CIRD Database Questions

1. Does the database currently meet our technical requirements? (If in doubt check with Ronda)
2. Do we have the license and has Ronda given it a preliminary review for potential problems?
3. Does the database include full-text?
4. Is this the primary database for a University Department, Program, School, or Center?
5. Is this a secondary database for a University Department, Program, School, or Center?
6. Does the database have widespread interdisciplinary or cultural value?
7. . How many students & faculty would be served?
8. What other access to similar material exists? What have we been doing to access this type of information?
9. What other database is the primary competitor(s) to this database and how do they differ?
10. What does this replace? Can we cancel an existing subscription?
11. If switching formats or vendors are we losing/gaining content, functionality, access?
12. Have the "selection considerations" of the Digital Library Collection Development Framework been considered: Content, Format, Practical Issues, Strategic Considerations?
13. Would this be a future cancellation target?
14. Will other funds be contributing money to defray the cost of this database?
15. Do UT's official peers subscribe to the database? (See Peer Comparison)

CDMG: Procedures for CDMG Database Consideration

1. ***Any database*** may be suggested for consideration and placed on the consideration list.

2. CMDG discusses databases under consideration and selects some as appropriate to receive written evaluation.

3. ***Multiple evaluators*** are sought for each databases so that CDMG always has at least two (preferably three) or more opinions to consider. In preliminary thinking about this we have assumed three evaluators:

   - A. The primary bibliographer or if there is no primary bibliographer a volunteer from the appropriate cluster/Ref/UGL,
   - B. another bibliographer who is somewhat removed from the subject but still capable of evaluating the database (equivalent to the outsider reviewer for a grant, or peer review for an article)
   - C. The networked information bibliographer who can provide an evaluation of the technical and licensing issues, as well as provide a third perspective.

   It is not expected that the written evaluations be exhaustive or excessively time consuming to prepare; some databases may be properly evaluated in less than a page, while others may take two. Evaluations should address whichever questions and issues from the Cal State and the CIRD lists that the evaluator feels are relevant and that would be helpful to CDMG in reaching a decision.

4. Evaluators will send their evaluations to CIRD and CIRD will distribute them to CDMG prior to any meeting

(probably via e-mail or a staff web page).

*Bibliographers are free to start the entire process rolling by submitting an evaluation along with their initial suggestion for database consideration to CDMG -- this way CDMG would have more information at hand when considering what database to elevate to serious consideration status.

CIRD's Home Page | Back to CDMG | Database Holdings - Peer Comparisons | Databases - List of Potential Purchases |

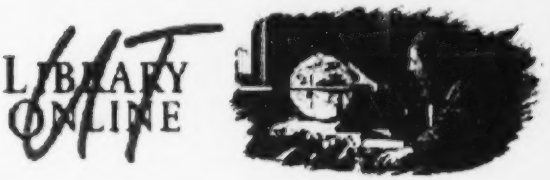
Last Updated May 1999

UNIVERSITY OF TEXAS

http://www.lib.utexas.edu/cird/Policies/Subjects/framework.html

General Libraries Digital Library Collection Development Framework

(Draft 1/25/99)



BIBLIOGRAPHER: Dennis Dillon
OTHER SUBJECT RESPONSIBILITIES: Head of Collection and Information Resources Division
ADDRESS: Library Administrative Office, PCL 3.200
PHONE: 495-4269

Purpose

Digital library materials are collected to support the mission of The University of Texas at Austin

Categories

Digital library materials currently collected by the General Libraries consist of three broad categories:

1. **Purchased or licensed material** such as electronic journals or databases. These are generally acquired from a commercial source, a government entity, a non-profit organization, a professional society, or an institution engaged in furthering scholarly research. In many cases this material is not "physically owned" by the library in the same sense that a printed book or journal may be owned, but instead the library has acquired specific rights to the material on behalf of the library's clientele.

2. **Material that has been reformatted (digitized)** by the General Libraries or the University from non-copyrighted print or analog sources, or has been reformatted from copyrighted sources with appropriate permission. In some cases the library may also serve as a repository for material digitized by other libraries, universities, institutions, or individuals. Typically, this material consists of resources from special collections that have been selected for digitization in order to make them more widely available, or deteriorating materials that have been reformatted for preservation reasons. As the use of digital material expands in higher education, the library will increasingly digitize materials on a programmatic basis in order to support the mission of the University and the General Libraries.

3. **Links and pointers** to Internet resources of significant scholarly value which are added to the library's catalogs, databases, and networked resources as appropriate.

Selection Considerations

Selection criteria for digital library resources comprises four levels of review: is the content appropriate to the library mission; are the format and information delivery medium appropriate to the content and commensurate with the library rationale for acquiring the resource; is the acquistion practical within existing budgetary, technical, legal and other constraints; and is the resource compatible with the library's overall strategic digital library vision and current infrastructure.

1. **Content.** Is the content intellectually significant? Is the content relevant to the University of Texas at Austin? Measures of intellectual significance include authority, uniqueness, timeliness, breadth or depth, and demand.

2. **Is the format appropriate for the content?** Is the format appropriate to achieve the underlying rationale for the acquisition of the resource? Print may be the appropriate format for a unique item with a low rate of expected usage; while high-use general undergraduate-level information resources, distance education resources, or frequently used reference material, may be more appropriately acquired in a networkable digital format. In a similar vein, special collection material with wide potential interest might benefit from re-selection for digitization to increase its utility and to make it available to a wider audience. An analysis of the advantages and disadvantages of a particular format, along with considerations of audience, intended use of the material, archival and access issues, and overall cost -- are all factors to be used in determining which format would be most appropriate for the library collection.

3. **Practical issues.** Does the library have the necessary overhead resources (equipment, staff, space, etc.) necessary to support the resource? Do library users have the necessary resources to utilize the content (computers, players, plug-ins, etc.)? Does the license or contract for the resource meet the library, university, and state requirements? Is the vendor reliable, is the format stable, and can we utilize the resource (linking, archiving, etc.) in the ways our users need? Does the digital product adhere to the best prudent practices of current library collection management (including, but not limited to, appropriate retrieval software, a well-designed interface, appropriate format and linking options, a properly reliable delivery mechanism, authentication and security designs that meet library needs, a library-friendly approach to fair use and copyright, quality statistical reporting, appropriate technical support, assurances of rights to permanent access, and appropriate licensing terms).

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4. **Strategic Considerations.** Is the resource compatible with the library/university/state information technology plans? Is the product compatible with the library's overall digital library vision and the library's current infrastructure in terms of its discovery, access, organization, and technical components? Does the product comply with the digital guidelines established by the International Coalition of Library Consortia? Is the product design and delivery consistent with the best practices of digital libraries?

Goals

Within this framework, it is the objective of the library to collect scholarly digital materials in order to provide broad access to relevant scholarly information at every level of granularity including articles, monographs, and large databases. As with all formats, digital material should meet the same subject, chronological, geographical, language and other guidelines as outlined in the library's subject collection policies; and possess the same standards of excellence, comprehensiveness, and authority that the library expects from all of its acquisitions. The library recognizes that different disciplines utilize different formats and different types of information in different ways, and that no one solution is appropriate for every subject or area of study. The ultimate goal of the General Libraries digital library collection development planning -- is to provide seamless cross-linkages between all elements of the digital library whether commercially licensed or locally created, and whether the resources are locally or remotely mounted and serviced.

Priorities

Priorities should be given to those digital materials that offer significant added value in supporting teaching and research over similiar materials in traditional formats that offer significant opportunities for cost containment, and whose license terms are reflective of the University's academic values. Measures of added value might include: additional content, greater functionality, greater accessibility, improved resource sharing ability, improved linkages with other information tools, ease of archiving, and the enabling of more efficient uses of limited faculty and student time and resources. Licenses should allow the library the flexibility to develop collections that match the University's needs without contractually forcing entangling ties to unwanted products, and without restricting the rights of fair use or the values of academic inquiry. License terms should also be financially sustainable and address achival rights to the resources in question. Materials that meet these and other selection needs, will be given priority over digital material of a more problematic nature.

Observations and Qualifications:

Electronic Journals:
Goals: To license access to a critical mass of high quality electronic journals throughout all subject areas.
Observations: Because the acquisition of any particular electronic journal is staff-intensive and involves the work of many people over a period of months -- initial collecting efforts will focus on acquiring a solid core of proven e-journals from respected publishers.
Qualifications: E-journal publishers vary greatly in their familiarity with electronic publishing issues, and in their familiarity with needs of the scholarly and library community. In some cases e-journal publishers have unrealistic expectations as to the prices libraries can afford, and in the technical and format barriers they expect libraries to scale in order to access their journals. The library has limited funds and staff time that can be devoted to problematic publishers. In those cases where the content is desirable, but the price and practical barriers are too formidable, we will not pursue the electronic versions of the journal, but will provide access through other formats or delivery mechanisms.

Indexing and Abstracting Databases:
Goals: To acquire the primary database in each subject area, and secondary and tertiary databases as needed by local programs.
Observations: Indexing and Abstracting databases provide valuable discovery tools both for material owned and licensed by The General Libraries and for other material which may be obtained through Inter-Library Loan or Document Delivery. In some instances these services also provide valuable links and online access to actual data and full-text resources.
Qualifications: The number of databases relevant to UT-Austin programs is multiplying faster than the library's ability to fund them. Selection of secondary and speciality databases will continue to be limited by available funds for the forseeable future. The usefulness of a particular database to a discipline or audience group will be measured database by database, particularly against other types of resources that might be purchased with the available funds, and against how it fits in with the library's overall mix of resources and technical platforms, and the database's prospects for long-term utility.

Full-Text Databases:
Goals: To acquire a complete range of full-text databases that serve the university's general and specialized scholarly interests.
Observations: Full-text databases are notable for their ease of use and cost-effectiveness. They typically receive high use and are the least expensive means of providing access to information covered by the database.
Qualifications: These databases must be constantly monitored as the specific resources covered by each database change as publishers renegotiate contracts with the vendor. By their very nature, full-text databases directed at different audiences and designed for different purposes may also have significant overlap in coverage.

Primary Resources:
Goals: Identify selected content that has value for teaching and research at the university, that would benefit from being more widely available in digital form.
Observations: The nature of primary resources used in different disciples varies significantly. The original primary resources may be manuscripts, pamphlets, books, official records, photos, paintings, audio clips, data sets, lab reports, digital files, etc. With all of recorded human history to draw upon, the reformatting of primary resources into digital form presents a wealth of potential material.
Qualifications: This material is available in a number of ways including licensing via commercial vendors, free via the Internet, or via resource sharing agreements with other institutions. The potential use and value of the material must be weighed against its cost and the

amount of resources its provision requires. Consultation with faculty, and consideration of the experiences of other institutions with the material is especially valuable in considering selection. When possible, outright purchase of the digital primary resource material should be considered as an option, instead of paying ongoing subscription and maintenance fees. In many cases this primary resource material is being republished from another easily available published format such as microfilm; in these cases the cost of digital primary research materials must be carefully weighed against the potential usage and convenience of digital access.

Digitization of Local Materials:
Goals: Identify local materials whose wider availability would aid university teaching and research, promote scholarship, enrich the arts and sciences, deepen our understanding of human culture, and benefit the citizens of Texas
Observations: Local materials are digitized both to provide wider access, and to preserve them for future generations.
Qualifications: Digitization projects require a significant investment of local resources and are not undertaken lightly. Long-term value to the academic community, congruency with the library and university mission and areas of interest, and significance to worldwide users of the Internet are all important considerations. Digitization projects are planned in consultation with the Electronic Information Programs Division and the Collections and Information Resources Division.

Online Books:
Goals: To contract with vendors for permanent online digital rights to selected current academic and trade books.
Observations: These services are new but growing in number. Initially the General Libraries will purchase rights to reserve items, high circulating popular scholarly items, and convenience books such as reference items or items that are frequently consulted but not pondered at length nor read in depth.
Qualifications: Until these services become reliable, the General libraries will continue its general policy of fiscally conservative experimentation.

Alerting and Profiling Services:
Goals: To subscribe to services and databases that can supply e-mail alerts to new articles, publications, and digital resources in a library user's area of interests.
Observations: These types of automated notification services are a way of extending the library's collection development activities outward to encompass newly published material that the library does not yet own, and to more fully involve faculty and students in the dialogue that is the library's collection building effort.
Qualifications: The amount of faculty and student interest in well-developed alerting and profiling services is not known. Current e-mail alerting services are little used.

Electronic Document Delivery and Pay Per View services:
Goals: To contract with vendors for the seamless delivery of material on a cost-per-use basis, that the library does not own and has not previously licensed.
Observations: For the immediate future these electronic services will be mediated through Inter-library Services in order to insure efficiency and to control costs. In the future, unmediated delivery of electronic information directly to the user is a realistic possibility, though access would be controlled via computerized rationing or accounts
Qualifications: The lines between services such as these, and full-text databases, and electronic journals and books, is likely to continue to blur.

Archiving of non-University of Texas web sites
Goals: To undertake archival responsibilities for non-University of Texas web-based information carefully and with proper consideration for all the issues involved.
Observations: There are considerable intellectual property, copyright, technical, and resource issues involved with archiving a web site. The issues pertaining to serving data that was created on another hardware/software platform are legion, and any archival consideration needs to begin with a finding of whether or not archiving the site in question is technically possible. Consideration for local archiving of a web site also includes obtaining signed legal permission for the General Libraries to archive and serve the data, and a consideration of whether the library has the resources (staff/hardware/software/etc.) to undertake the project.
Qualifications: Other archival options, such as printing out screens from the web site, cataloging them, and making them available in the library; or relying on national web archival options such as the Alexa project or Library of Congress should also be explored.

Integration of Print and Electronic Resources:
Goals: To promote the integration of print and digital items through bibliographer subject pages, conversion of finding aids into digital form, and through the licensing of resources that intermix citations to multiple formats.
Observations: Integration of formats can be achieved technically through improved discovery and access mechanisms, as well as through the efforts of individual librarians via the creation of bibliographer subject pages, the addition of digital resources to the online catalog, and similar activities.
Qualifications: For the foreseeable future, print and digital resources will both be essential in a successful research library. Collection planning needs to consider both formats.

Overall Multiple User Profiling andAlerting Capability:
Goals: To insure that the various digital library products are capable of responding to profiling and alerting services that the library may create or contract with, so that users may be automatically notified of new information of personal interest.
Observations: Integration of the variety of vendor based products of this nature is currently problematical
Qualifications: Campus usage of these services is low, and whether or not library users would find these services truly useful is unclear.

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Request Forms and Procedures

Requesting the Purchase of an Electronic Information Product

If you are aware of a resource that you think would contribute to scholarship at Duke University, and would like to see it made available campus-wide, please follow the steps listed below.

Step 1

Request a test connection or trial CD-ROM by having Acquisitions request a "trial purchase" for a defined period. Email the Head of Acquisitions with the following information: name of database, phone, email, or address of publisher, known delivery mechanism, cost if known, and desired trial period.)

Step 2

Make arrangements to have the product tested on a local machine, or (preferably) through a Web connection with a link created from the "Test Databases" area of the library Web page. (A record will also be created in INNOPAC to monitor the trial period, and to avoid unintended subscriptions.) Resource specialists should be notified to review the file and submit opinions. You should obtain three (3) supporting reviews from the staff to submit with the order.

Step 3

Complete the Request for Review of Electronic Products form and submit it to the Electronic Access Committee along with any accompanying documentation you have gathered.

Step 4

The Electronic Access Committee will review your request based on the content of the product, ease of use, and cost ratio. You will be notified when a decision has been reached.

Step 5

If your request is accepted, and order will be placed for the product and the necessary arrangements will be made to provide access.

Page Author: Debi Eason
Last Update: Thursday, 04-Nov-99 11:30:53
<http://www.lib.duke.edu/staff/eac/reqsteps.html>

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DUKE UNIVERSITY LIBRARIES

CATALOG RESEARCH DATABASES SEARCH REQUESTS

Request for Review of Electronic Products (Electronic Access Committee)

The purpose of the Electronic Access Committee (EAC) is to review, acquire, and implement electronic resources for campus-wide activities in order to enhance and supplement the research collections of the Duke University Libraries. The EAC welcomes suggestions for the purchase of electronic products from EAC funds. If you are aware of a resource that you think would contribute to scholarship at Duke University, and would like to see it made available campus-wide, please complete the following form and submit it to the EAC for a decision. **Please fill in at least the *Product Title* and *Vendor/Publisher*, as well as *your name* and the *date* of the request (located at the end of the form) before submitting your request.** Please supply as much of the additional information requested as possible.

Product Title (Required):

Vendor/Publisher (Required):

Address:

Phone:

Fax:

Email:

Subject Area(s) Covered:

Dates of Coverage: From To

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DUKE UNIVERSITY

Bibliographic ☐ (Index, Index and Abstracts ONLY) **Full-text** ☐ **Numerical** ☐ (raw data for use w/ another program)

Other (Please describe)

The product is a Serial ☐ **or Monograph** ☐

If it is a serial, is a backfile available? ◯ **Yes** ◯ **No**

Update Schedule:
◯ **Monthly** ◯ **Quarterly** ◯ **Annually** ◯ **Continuously**

Operating System:
DOS ☐ **Windows 3.x** ☐ **Windows 95** ☐ **WWW** ☐ **Other**

Number of simultaneous users needed?

Estimated Cost:

Suggested Funding Support:

Does the Vendor/Publisher make the product available at a discounted price to academic institutions?
◯ **Yes** ◯ **No** **Amount of discount**

Does Duke currently subscribe to this product in another format?
◯ **Yes** Print ◯ **No**

If yes, could this be canceled in favor of the proposed format? ◯ **Yes** ◯ **No**

OR Is the information only available in electronic format? **Yes** **No**

Have you tested this product? **Yes** **No**

Was the test of the full database, or only a sample or demo?
Full Database **Sample/Demo**

Evaluation of demo/test: (Please check all that apply. Use the Comments space below to clarify and/or elaborate.)

- **Easy Searching** ☐
- **User-friendly** ☐
- **Easy Access** ☐
- **Easy Connectivity** ☐

Comments

What is the intended audience for this product?

Please explain why this product would be an appropriate addition to the Duke University Libraries collection.
(When completing this section, please consider the such factors as the uniqueness of the resource, the special value it will lend to the collection, how "necessary" the product is for the collection, and the research value of the product.)

Has the vendor supplied all of this information to you in writing? ○ **Yes** ○ **No**
(If yes, please send copies to Jeri Van Goethem, Acquisitions/Serials, Perkins Library.)

Request Submitted By (Required):

Date (Required):

Submit Query

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dte 4/98

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UNIVERSITY OF MINNESOTA

Twin Cities **University Libraries**

Placing Orders for Networked Electronic Resources That Involve Licensing Agreements

Procedures for Selectors

Revised April 21, 1999

These procedures are intended for selectors who initiate registration for or subscriptions to ***any*** networked electronic resources -- those that are free and those that we pay for.

If more than one title is available from the vendor/publisher (e.g, 35 journals from Oxford University Press) ***and*** the titles are multidisciplinary, please consult with the appropriate subject selectors and notify your CDM coordinator to ensure that all interested parties are aware of the pending subscription.

Please note that before an order is placed, University policy requires that all contracts and agreements be reviewed by University Counsel and signed by a university administrator authorized (by the Regents) to do so. To facilitate this process, selectors must work with their CDM Subject Coordinators and with Peggy Johnson, Licensing Coordinator, following the procedures below.

Also available:
Procedures for Acquisitions Staff in ordering networked electronic resources
DSAC Procedures for Selecting and Providing Access to Networked Electronic Resources

Selectors:

1. Contact Jon Nichols if you have technical questions about setting up access to electronic resources (feasibility, space needed, compatibility, etc.).

2. Print an order Template, complete it, and give a copy to your serials processor so that s/he may create a decision record online. A searchable list of selectors, funds and processors is available on the CDM web site (user id: funds; password: 29yyy50).

3. Obtain a copy of the licensing agreement (either by downloading/printing from a web site or contacting the publisher directly).

Note: If the publisher states that there is ***no*** licensing agreement, notify Peggy Johnson, Licensing Coordinator, of this fact. Complete Step 6, Step 7, and Step 9 and send the order template and Exhibits A and B to your serials processor so that the order/registration may be placed. Proceed to Step 14, Step 15, and Step 16.

4. Contact Peggy Johnson, Licensing Coordinator, to determine whether a licensing agreement for this publisher is already on file.

- If an agreement ***is*** on file, complete Step 6, Step 7, and Step 9 and send Exhibits A and B to your serials processor so that the order may be placed. Proceed to Step 14, Step 15, and Step 16.

- If ***no*** agreement is on file, proceed to Step 5.

5. Read the licensing agreement and note any problematic clauses or restrictions (e.g., on-site access restricted to students, staff and faculty only).
   - Refer to the document entitled Standardized Agreement Language approved by the CIC Center for Library Initiatives; it provides standard language for use in electronic resource contracts and licenses.
   - Consult the LibLicense web site, which provides a very useful overview of licensing terms and examples of language that may need amendment.

6. Notify your CDM Subject Coordinator of your intent to subscribe. Discuss license, access requirements, technical support, etc., as needed.

In addition, if multiple titles are available from this publisher ***and*** they are multidisciplinary, please consult with the appropriate subject selectors to ensure that all interested parties are aware of the pending subscription. Communication is essential.

7. Print and complete Exhibit A, which includes:
   - Billing address (generally the serials processor's address)
   - Library contact who is to be notified when the resource becomes available (generally the selector who initiates the subscription)
   - Network/System contact (Jon Nichols)

8. Initial Exhibit A next to your name to signify that you have read the licensing agreement and accept responsibility for its content (selectors must be aware of any restrictions, etc., once the agreement is finalized and submitted to the publisher).

9. Contact Mary Gibney for a list of valid IP addresses. Specify who will have access to the resource so that she may give you the correct list (also see Step 16 below). Label this list of IP addresses as Exhibit B and date it. (Before submitting the order, serial processors will contact Mary Gibney to determine whether the IP list has been updated since the date on Exhibit B.)

10. Send Peggy Johnson a copy of the order template, a clean copy of the licensing agreement, and Exhibits A and B. Review the agreement with Peggy, in person or on the telephone. Discuss any potential problems and the need for modifications or amendments.

11. Peggy will consult with University Counsel to review the agreement. If Counsel recommends changes, Peggy will contact the selector to arrange discussions with the publisher/vendor.

12. Once the agreement is finalized, Peggy will secure an authorized signature on the license agreement and forward all documents to the serials processor so that s/he may initiate the order.

13. Peggy will notify the selector and the Library Business Office that the subscription is being placed and will send each person a copy of the final agreement.

14. Notify your processor once you receive confirmation from the publisher that the resource is available. S/he will ensure that the MNCAT order record is updated and will notify Cataloging that a complete bibliographic record is needed.

Provide your processor with any new and essential information, such as a required UserID and Password, access restrictions, etc.

15. If appropriate, add the resource to the Libraries Website. Guidelines for submitting additions and corrections, as well as a list of staff responsible for updating all sections of the Website, are available in the document Libraries Website Responsibilities. Please be certain to follow the guidelines.

16. Send Mary Gibney the following information. She will notify all publishers/vendors of future changes in IP addresses (see http://www.lib.umn.edu/as/ip.html for procedures).
   - Title of the resource
   - Vendor of the resource
   - Definition of who has access to the resource: Usually, this is either Twin Cities students, staff, and faculty; or students, staff, and faculty from all University campuses. If the resource is limited to specific Library terminals, those IP addresses should be provided.
   - Name, phone number, and e-mail address for publisher/vendor contact person

UNIVERSITY OF MINNESOTA

http://www.lib.umn.edu/cdm/documents/template.html

Template for Creating a Decision/Order Record for Networked Electronic Resources That Involve Licensing Agreements

Selector's name:
E-mail address:
Phone number:

Serial Processor's name:
E-mail address:
Phone number:

Title for the MnCat *order* record:
(e.g., Oxford University Press Online Journals, ARQ1240, if a collection of titles)

Name of Publisher/Vendor/Supplier:

Status of license agreement:
_____ No license agreement exists; please process order (no signature needed)
_____ License agreement is currently under review
_____ License agreement is already on file; please process order (no signature needed)

Note: If a license agreement is required, LBO cannot process payment *until* it is signed and on file with Peggy Johnson.

Type of Electronic Resource:
_____ Electronic Journal
_____ Online database/index

Trial only?:
_____ No
_____ Yes (specify length/dates of trial):

Pricing (check one):
_____ Individual subscription price (*not* based on a subscription in another format)
_____ Additional fee based on subscription in another format
_____ Free with print subscription
_____ Completely free of charge

Primary URL for Title(s) and More Information:

Titles (attach additional sheet or printout if more convenient; if more than 10 refer to URL):

For each title listed above, provide the following:
1. Beginning volume number and date of coverage for online access
2. Fund code
3. Price (if applicable)

Does the library own title(s) in other formats?:
_____ No
_____ Yes (Add LUMINA ID Number for each title listed above)

If Yes, for the other format(s):
_____ Continue the subscription
_____ Cancel the subscription
_____ Subscription will cease and be replaced by the networked electronic format

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Authorized Access (check as many as apply):
Note: If authorized access changes after the license is negotiated, please notify your selector.

_____ University Library terminals only
(specify if limited to particular libraries and/or IP addresses):
_____ All University of Minnesota--Twin Cities Campus computers (faculty, staff and students)
_____ Remote access for University of Minnesota faculty, staff and students
_____ Members of the walk-in public from University Library terminals
_____ University of Minnesota Coordinate Campuses (specify): Duluth Morris Crookston
_____ Other restrictions/instructions:

Form of Access:

_____ Remote access through the Web
_____ Locally mounted (specify platform):
_____ Other (please describe):
(E.g., Beilstein requires that proprietary software be loaded on each machine)

Data Is (required by the Library Business Office):

_____ Owned (retained if subscription is cancelled, a capital expenditure)
_____ Leased (data/access is lost if subscription is cancelled, a non-capital expenditure)

Part of a Consortial Agreement?:

_____ No
_____ Yes (please specify CIC, Minitex, etc.):

Subscription start date(if known):

Any additional notes or comments:

Please send form to your serials processor

Comments to: Janice Jaguszewski
URL: *http://www.lib.umn.edu/acdm/documents/template.html*
Last Update: 9/18/98

PURDUE UNIVERSITY

http://www.lib.purdue.edu/infoAcc/form.html

ELECTRONIC INFORMATION REQUEST FORM

1. Name of database/file: _____

2. Publisher or provider: _____

3. Type of database: (Check **all** that apply)
Bibliographic ☐ Full-Text ☐ Numeric ☐ Image ☐ Mixed Media ☐
Other (Please Specify) _____

4. Format or method of access: (Check **all** that apply)
CD-Rom single user ☐ On-site tape load ☐ On-line/Internet access to third party site ☐
CD-Rom networked version ☐ On-line/Internet access to Vendor site ☐
Other (Please Specify) _____

5. **Short** narrative description of database/file:

6. Frequency of updates: None ☐ Weekly ☐ Monthly ☐ Every 2-3 months ☐ Every 6 months ☐ Annually ☐
Other _____

7. **Primary** user population: Undergraduate ☐ Graduate ☐ Faculty ☐
Other _____

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8. Primary purpose: Support Undergraduate Curriculum ☐ Support Graduate Curriculum ☐ Support Research ☐
Other ☐

9. Number of anticipated users: Undergraduates ☐ Graduates ☐ Faculty ☐
Other (please specify user type and number) ☐

10. Uniqueness

a. Are there similar databases/files covering essentially the same data?
No ☐ Yes ☐
If yes, please name: ☐

b. Does Purdue **already** have a subscription to this title although the format may differ? (If Purdue has a print copy, the correct response is yes)
No ☐ Yes ☐
If yes, will obtaining your request result in the cancelling the earlier format(s)?
No ☐ Yes ☐

11. Justification

Please briefly justify the projected usage of the requested product taking into consideration the above mentioned uniqueness; number of anticipated users/user population; and primary purpose. Indicate why this product is better cost vs. projected use as well as value to a certain curriculum or research area

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12. Technical Specifications:

a. If request is for on-line/Internet access version to remote site, access is by: IP address ☐ Individual password ☐ Institutional password ☐ Combination of more than one of the above list ☐
Other (please specify) _____

b. If request is for on-site tape load version, hardware needed:
Mainframe ☐ RISC (RS-series, Sun Solaris, or similar) ☐
Other (please specify) _____

c. If request is for on-site tape load version, where will it be loaded?
PUCC ☐ Libraries ☐ School/Departmental ☐
Other (please specify) _____

d. If request is for CD-Rom, networked or stand alone (check all that apply):
Currently have available computer which meets specifications to use database/file ☐ Must purchase new computer ☐ Currently have network which meets specifications to run database/file ☐ Must install appropriate network ☐

e. Is additional software needed to run the database/file (e.g. applications programs, searchware)?
No ☐ Yes ☐
If yes, do you already have available to you?
No ☐ Yes ☐
If no, what software is needed? (Specify Name) _____

13. User Training requirements:

a. Does a user need special training to use the file effectively?
No ☐ Yes ☐
If yes, who is responsible for training? (Please Specify)
_____

b. How long would it take to train a user? _____

14. Licensing/purchase specifications and restrictions:

Please **briefly** summarize restrictions, such as restricted to Purdue users; users in only one department; a set number of users or passwords; etc.

15. Archival Issues (for subscriptions and licenses only)

If the subscription or license agreement lapses:
Purdue can retain all data obtained during the duration of subscription/license ☐
All data must be returned to publisher/vendor ☐
Access only provided, no further access even to data originally available during subscription/license ☐
Access to data available during subscription/license is retained but no access to new data allowed ☐
Other (please specify) _____

16. Total Costs:

a. Database/file
Non-recurring (one-time cost) _____
Recurring (annual) _____
b. Hardware
(computers, printers, peripherals, etc.) _____
c. Software
(Applications, Searchware, etc.) _____
d. Maintenance (Annual)
(Applications software, equipment) _____
Total Cost _____

Note: Currently funding is available **only** for content (database/file) whether it will run on-site or access to a remote site is provided. If you have stated other needs (e.g. equipment), do you have commitment from your department head/dean to provide the necessary funding?

_____

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17. Funding Available: a. If this request is approved, what amount can be made available due to cancellation of existing subscriptions in other formats?

b. Is other funding, on a matching basis, available from your own school/department or other budgets?
No ☐ Yes ☐
If yes, how much?

18. Request Ranking If you have submitted more than one request, please rank order this request among all those you've submitted.(e.g. 1 of 3) of

19. **Primary Requester**
Name:
Department: School:
Campus Address: Campus Phone:
E-mail:

Supporting Faculty/Staff
Name:
Department: School:
Campus Address: Campus Phone:
E-mail:

Name:
Department: School:
Campus Address: Campus Phone:
E-mail:

Name:
Department: School:
Campus Address: Campus Phone:
E-mail:

Format for printing Clear data

SERIAL AND/OR ELECTRONIC MEDIA REQUEST FORM

University Libraries
University of Tennessee Knoxville

INSTRUCTIONS: Fill out only those portions that apply to your order.

REQUIRED ATTACHMENTS: Subject Librarian supplies (as appropriate): descriptive information, sample issues, sample screens, reviews, copy of license agreement.

Requested by _____

Fund Code _____ Date _____

PRODUCT INFORMATION

Title/Product Name _____

ISSN _____

Format (circle one): Microform OR Paper OR Electronic

Publisher/Supplier _____

Phone _____ FAX _____

E-Mail/URL _____

Address _____

_____

Price _____ _____ One-time price

_____ Annual subscription

Free with subscription to print version? _____ YES _____ NO

Other Price Information/Notes: _____

_____

SPECIAL FINANCIAL ARRANGEMENTS

_____ Special Funding

_____ Cost Sharing

_____ Will cancel to purchase: _____

_____

_____

TYPE OF ORDER: (choose one)

Current periodical subscription:

Volume _____ Year _____

Electronic Version of Current Print Subscription: _____

Reinstate cancelled subscription:

Volume _____ Year _____

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UNIVERSITY OF TENNESSEE

Call Number _____

Purchase backfile in this format (circle one):

Microform OR Paper OR Electronic

DESIRED LOCATION (circle one)

Main	Main Ref	Doc/Mic	Sp Coll
Per Mic	Music	Mus Ref	Ag-Vet Med
Other	Ag-Vet Med Ref		

ALTERNATE ACCESS/DUPLICATION INFORMATION

Full Text: _____ Price _____

Table of Contents: _____ Price _____

Document Delivery: _____ Price _____

Does this product duplicate library holdings in a different format OR is it similar to any currently held electronic title?

Can the duplicated titles be cancelled? _____

OCLC SYMBOLS FOR OTHER LIBRARIES WITH HOLDINGS:

_____

REASONS WHY THE LIBRARIES SHOULD PURCHASE THIS TITLE:

_____

_____

_____

RETENTION (FOR PAPER FORMAT) Choose one:

Bind Paper Issues Keep current issues only

Current issues only/microfilm backfiles

LEVEL OF ACCESS & LOCATION (FOR ELECTRONIC FORMATS)

_____ Networked Number simultaneous users: _____

_____ Local load _____ Within building

_____ Remote access

Provide justification for networking (description of anticipated use, audience, etc.)

_____

_____

_____

_____ Standalone

_____ Local load Location _____

_____ Remote access Location _____

_____ Circulate

_____ Limited patron access (specify)

_____ All patron types

HARDWARE & SOFTWARE REQUIREMENTS (ELECTRONIC FORMATS)

Specify the hardware and software requirements (type of processor, operating system, memory, disk space, etc.)

_____

_____

_____

Are the hardware and software already available in the Libraries?

_____ YES _____ NO

If not, is the academic department willing to share the costs and to what extent?

LICENCE AGREEMENT (ELECTRONIC FORMATS): *Attach copy to this form*

AUTHORIZATIONS AND TRACKING

Signature of Library Representative (FOR DEPARTMENTAL REQUESTS ONLY)

_____ Date _____

Subject Librarian _____ Date _____

Approved by Subject Coordinator _____ Date _____

Approved by Electronic Services Coordinator (ELECTRONIC FORMATS ONLY)

_____ Date _____

License Agreement Completed by _____ Date _____

Approved by CDM Coordinator _____ Date _____

IN-PROCESS TRACKING

1. Action taken by Acquisitions/Serials _____ Date _____
2. Action taken by Cataloging _____ Date _____
3. Forms returned to CDM Office _____ Date _____
4. Forms returned to Subject Librarian _____ Date _____

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Electronic Resources Policies

April 1999

UNIVERSITY OF GUELPH LIBRARY
ELECTRONIC COLLECTIONS POLICY

The following guidelines are provided to assist with the purchase of electronic resources and with issues arising from proposals or contracts from providers of information in digital formats.

1. GENERAL GUIDELINES

- Conventional collection development criteria set out in collections policies should be applied consistently across formats including digital resources.
- Priority should be given to digital format for resources which offer economies of scale and benefit the most faculty and students by making information available beyond the library's physical constraints. Normally, we should select a resource in paper or in digital format, not both formats.
- Priority should be given to digital resources which offer significant added value over print equivalents in such ways as: 1) more timely availability; 2) more extensive content; 3) greater functionality such as the ability to invoke linkages to local and/or related resources; 4) enhanced access that can be delivered rapidly, remotely, at any time; 5) improved resource sharing; 6) ease of archiving, replacing, preserving and diminished reliance on traditional storage space.
- It is the responsibility of collection librarians, in consultation with collection services and systems services, to acquire information about the availability of a resource in various modes (web free or licensed access, CD-ROM stand alone or networked, locally networked or TUG, OCUL, etc.). With knowledge of the cost benefits of these options, they recommend how the product should be acquired. This will require the completion of an evaluation form (see appendices) and training on the issues involved (responsibility for this training and the evaluation forms rests with the Head of Collection Services).
- The Library should retain authority for selecting and deselecting materials (content and format). Selection decisions should not be compromised by provider-defined linkages between print and digital products.
- Consultation with our user community, especially faculty, is vital.

2. FORMAT SELECTION

- Consideration of systems support is an essential factor and all systems evaluation forms and procedures must be addressed prior to purchase.
- Generally, the approach should be to get the best cost benefit possible. Thus, if "free" web access can be provided and response time is acceptable, this should be the preferred option.
- If a licensed Web access is relatively inexpensive and response time is acceptable, then this should be the next option, particularly if a TUG-wide or OCUL consortial price is advantageous.

- In the event that the product will likely get very heavy levels of use, it will be advisable to purchase the product and mount it in-house and make it available to our community via ERL including TUG (if possible). It is important to consider the total financial implications (especially systems workloads and hardware requirements or availability) of such an action as much as possible prior to making the commitment.
- There is a hierarchy of electronic products from a systems perspective: 1) ERL or Internet, and 2) local server databases (e.g. Biological Abstracts). If the product is likely to get low use, then it should be considered for addition to the collection, but to be used on a stand-alone or circulating basis.

3. COSTS AND PRICING

- Electronic content should cost approximately the same as its print analog, unless there is substantial added value (e.g., a bibliographic database enhanced with full text).
- Wherever possible, base electronic subscriptions and associated document delivery product costs should be separated.
- The Library should have flexibility in selecting appropriate access mechanisms (including local or remote server, resource sharing agreements with other institutions, etc.) and should be able to alter these agreements for an existing license, subject only to access and use restrictions in the license agreement.
- The Library prefers pricing based on the size of the actual community which will use the digital information, or the actual recorded use (either unlimited simultaneous use or transaction-based licensing, as appropriate), as opposed to pricing based on the size of the total library population (unless consortial arrangements based on students offer attractive price advantages).

4. LICENSING PROVISIONS

- The license should include permanent rights to information that has been paid for in the event that a licensed database is subsequently canceled or removed.
- Information providers should employ a standard agreement that describes the rights of libraries and their authorized users in terms that are readable and explicit, and they should reflect realistic expectations concerning the Library's ability to monitor use and discover abuse.
- As a public institution with a broad mandate to serve the University of Guelph community, Guelph's "authorized users" include faculty, staff, students and all on-site users of the campus or University. "Users" may include others directly served by Guelph (e.g., Guelph-managed laboratories and other research and instructional facilities and programs, and outreach programs).
- The licensed content, plus any associated features and capabilities, should be accessible from all institutionally-supported computing platforms and networked environments; this access must be based on current standards.
- Licenses should permit fair use of all information for non-commercial educational, instructional and research purposes by authorized users, including unlimited viewing, downloading and printing.
- Normally, access to products should not require individual passwords and/or user IDs.

- Licenses should not limit the University's rights to enhance or reformat data (if content integrity is preserved) to make it more visible or convenient for University users (e.g., by providing links to other University holdings, or annotation for use within the University community).
- University use data should be available to the Library as part of contractual provisions for a license and the confidentiality of individual users and their searches must be fully protected.

5. FUNCTIONALITY AND INFRASTRUCTURE

- Data formats should follow industry standards and must be fully documented (e.g., ASCII or PDF).
- Once a decision has been made to acquire an electronic resource, appropriate infrastructure must be in place, such as convenient workstations connected to a network infrastructure which is reasonably fast; system capacity and bandwidth should be adequate; etc.
- Interfaces should be easy to master by users (e.g., ERL).
- Information providers must keep the Library informed of format and content changes and coordinate their implementation with the Library.

6. ARCHIVING RESOURCES

- the Library has a legitimate interest in maintaining electronic archives and a mission to ensure archival access.
- Agreements should clearly state archival responsibility.
- Agreements should permit the Library to make/obtain digital and/or printed copies of content for archiving and for use in perpetuity.
- Archive formats to be arranged in consultation with systems services.

the university of iowa libraries

University of Iowa Libraries

POLICY FOR ELECTRONIC RESOURCES MANAGEMENT

Revised, June 1996

University of Iowa Libraries

Iowa City, Iowa 52242

I. Role of the Library

The University Libraries have a central, established role "...to provide collection and staff resources in support of teaching, research, service and public outreach..." (University of Iowa Strategic Plan, October 1, 1989, p.1). The University Libraries' top priorities in collection development are curriculum support, standard source availability, faculty research, and graduate student research, as stated in the 1986 "Collection Priorities" document. The Collection Management Committee is responsible for recommending collection policy to the University Libraries' administration and coordinating collection management activities throughout the University Libraries system.

II. Purpose of this Policy

The University Libraries collect or provide access to appropriate materials in print and non-print media. Currently, electronic formats present libraries with management issues that more traditional formats do not. They may be significantly more expensive to acquire and maintain. They may be physically located in a library or they may be housed elsewhere on campus or at remote locations. They may require additional hardware and software to operate or to access. Because these concerns complicate the selection and the accessibility of such materials within the University Libraries, a policy specifically for electronic formats is needed.

This "Policy for Electronic Resources Management" provides context and guidelines for the University Libraries in the selection, acquisition, provision of access to, and maintenance of electronic resources. It does not address specific procedural issues such as where a particular resource will be located or funding options. These are discussed in related University Libraries documents such as the "Information Arcade Selection Criteria" document produced by the Database Task Force and the "Expensive Purchase Recommendation" guidelines.

III. Relationships with Related Groups and Concerns

Providing access to electronic resources may involve funding, equipment, data storage, location, and remote access decisions affecting many units both within the University Libraries administrative structure and outside of it. These might include Information Technology Services, departmental reading rooms on campus, and other libraries outside the University. The University Libraries seek to work cooperatively with the above and other concerned groups on such issues as they arise.

IV. Scope of this Policy

A. This policy addresses the selection for acquisition or access of the following types of electronic materials:

1. Numeric data files.
2. Textual files.
3. Bibliographic files.
4. Graphic and multimedia files.
5. Courseware/Instructional files.
6. World Wide Web resources that fall under categories 1-5.
7. Specific applications software needed to utilize the resources listed above.
8. The University Libraries will consider the purchase of other types of electronic resources as they are developed, in light of their relevance, appropriateness, and contribution to the Libraries' mission.

B. This policy does not cover general purpose applications software such as authoring programs, gateways programs, reference management programs, productivity programs, and integrated library management programs (e.g., NOTIS).

C. This policy does not cover any resources purchased primarily for staff use.

V. Selection and Acquisition Responsibilities of the Library

A. General Guidelines

1. The Libraries will select, fund, and make available appropriate electronic resources.

2. The Libraries will provide monies from its materials budget for the purchase of electronic materials meeting the criteria specified below in sections V.A.6 and V.B.

3. The collection management librarians will have the primary responsibility for identifying, selecting, and funding through the individual subject fund lines the electronic resources they wish to add to the library collection.

4. The collection management librarians will have the primary responsibility for negotiating and coordinating funding for applications programs needed to operate specific electronic resources they have selected.

5. The collection management librarians will have the primary responsibility for selecting for the Gateway to the Internet resources falling under the categories listed in IV.A above.

6. Very expensive electronic resources of campus-wide utility, such as the Wilson databases, may be purchased with general materials monies. The Collection Management Committee will review such recommendations.

7. The fundamental and primary criteria used for measuring the appropriateness of adding a particular electronic resource to the Libraries' collection will not differ essentially from those criteria used to measure books or any other format. These primary criteria are:

   a. The resource contributes to the Libraries' mission of providing support for instruction and research.

   b. There is demonstrated demand or a potential audience for the resource.

8. If significant additional expenditures or extraordinary arrangements would be required to make the resource available, such as special hardware, a different operating system, or unusual space or maintenance requirements, its acquisition should be justifiable with the strongest possible arguments from Section V.B. below. A mechanism exists for collection management librarians to use individual materials funds to purchase needed equipment, if no other means of obtaining the equipment is available.

9. The public services support required to make a resource available should be given early consideration in the selection process. Collection management librarians should consult with staff of other library departments that may be affected. Aspects of public services support to be considered are:

   a. The need for staff and user training.

   b. The availability and usefulness of manuals, guides, and tutorials from the producer.

   c. The ease of production of a brief guide, if necessary, by University Libraries staff.

If substantial amounts of staff time and effort would be required to make a resource available, its acquisition should be justifiable with the strongest possible arguments based on the criteria in Section B below.

B. Additional Criteria

In addition to the primary criteria in section V.A.6 above, the following criteria specific to electronic resources should be considered. They are not listed in priority order. Not all of the suggested criteria will be applicable in every case.

1. The resource offers some value-added enhancement to make it preferable over, or a significant addition to, other print or non-print equivalents. Examples of such enhancements include wider access and greater flexibility in searching.

2. If the item is an electronic version of a resource in another format, it contains or covers the equivalent information to the extent appropriate and desirable.

3. The resource meets usual and customary technical standards in the industry.

4. If currency is important, the resource is updated often enough to be useful.

5. The production quality is satisfactory for the proposed use.

6. The resource is "user-friendly". Some measures of "friendliness" are:

   a. The existence of introductory screens

   b. The availability of on-screen tutorials

c. Prompts and menus

d. Function-specific help

e. Novice and expert searching levels

f. Helpful error messages

g. Ease of exiting from one point in database to another

h. Index browsing

i. Searching on index terms without re-typing

j. Software allows for both printing and downloading

7. Vendor-related issues, such as:

a. Vendor reliability and business record suggests continued support for the product via updates or new versions.

b. Vendor-produced documentation is thorough and clear.

c. Customer support is available from the vendor during library working hours.

d. Price penalties, if any, for different formats have been investigated.

8. The resource is potentially networkable.

9. Textual resources are in the most commonly used and appropriate language for the subject matter.

10. Published reviews of the resource have been taken into account.

11. A trial period is available for examining the utility and value of the resource before a final commitment is made with the vendor.

12. Access-related issues, such as:

a. The physical location of the resource, if applicable.

b. Vendor-required limitations to access.

c. The resource can be made available in agreement with the Intellectual Freedom statement of the American Library Association, which the University Libraries fully support.

VI. Implementation Responsibilities of the Library

A. The library will comply with the copyright law and will take measures to promote copyright law compliance among its users.

B. The library will optimize access to and utility of electronic resources through the following activities:

1. Bibliographic control through the cataloging or inventorying of each resource.

2. Storage for the item, if needed.

3. Appropriate circulation procedures.

4. The purchase, maintenance, preparation, and loading of software and hardware necessary to use the resource.

5. Appropriate staff support and training.

6. Appropriate user support and training.

C. The Libraries will negotiate and comply with vendor licensing agreements.

1. In general, it will be the responsibility of the University Libraries acquisitions staff and the Director for Collections and Information Resources to negotiate and sign licensing agreements, in consultation with the appropriate collection management librarian. In cases where an agreement is appropriately negotiated by other staff, it should be reviewed by the Director for Collection Management and Development. In some cases the University Purchasing Department may negotiate and sign agreements. Monographic Acquisitions will maintain a file containing copies of all licensing agreements.

2. The department or unit which houses or provides access to an electronic resource is responsible for the day-to-day oversight of licensing requirements.

3. Final responsibility for compliance with licensing agreements rests with the Director for Collection Management and Development, in consultation with the University Purchasing Department and the University Attorney, as may be necessary.

VII. Duplicate Copies, Copies in Multiple Formats, and Networking

A. Duplicate copies of electronic resources will be purchased only in cases of clearly demonstrated need when networking or other alternatives are not available or practicable.

B. The Libraries may protect access to selected resources by making them available in more than one format, for example, both on CD-ROM and in print. Such resources are primarily those which have significant historic value or are critical to a university program. Multiple format access to such resources may be provided when:

1. The electronic version is poorly supported by the vendor.

2. One format is unstable.

3. Hardware or software necessary to use the resource in a particular format is limited or unreliable.

4. There is a cost benefit to providing access in multiple formats.

5. Different formats are necessary to meet the differing needs of user groups.

6. The resource is not archived in a format accessible by current technology.

C. The Libraries purchase licenses that permit networking or "multiple launches" of an electronic product whenever resources permit.

VIII. Replacements

The criteria used in deciding whether an electronic resource should be replaced will not differ essentially from those used when considering the replacement of books or other materials. These criteria include demonstrated

demand for the resource, cost of replacement, and availability through other campus or remote sources.

IX. Gifts

The Library will accept, evaluate, and process gifts of electronic resources consistent with the criteria stated above. All other issues regarding electronic materials received as gifts shall be handled in accordance with the University Libraries' general Gift Policy.

X. Preservation

The preservation of electronic materials shall be consistent with the Libraries' overall preservation policy. This shall be overseen by the Preservation Librarian, in consultation with library automation personnel or others the Preservation Librarian deems appropriate.

XI. Deselection

Electronic resources will be reviewed periodically by the selector to assess their continuing value. It shall be the prerogative of the selectors to weed from the collection electronic materials which are determined to be no longer of value.

XII. Policy Review

The University Libraries Collection Management Committee will review this policy at least every three years, or as needed.

XIII. Location and Dissemination of Policy

In order to ensure a wide knowledge of and adherence to this policy, a copy resides with each collection management librarian within the University Libraries system. A copy is available for public view in the office of the Director, Collection Management and Development.

XIV. Administrative Acknowledgment

The revised version of this policy was approved by the Libraries' Executive Committee on June 6, 1996.

Edward Shreeves
Director, Collections and Information Resources

Drafted by Melanie Wilson and Chris Africa

Reviewed and amended by the Collection Management Committee:
Chris Africa
John Howell
Dottie Persson
Tim Shipe
Edward Shreeves
Kathy Wachel
Janice Simmons-Welburn
William Welburn
Melanie Wilson

Assistance in developing this draft policy was derived from the following sources, and is gratefully acknowledged:

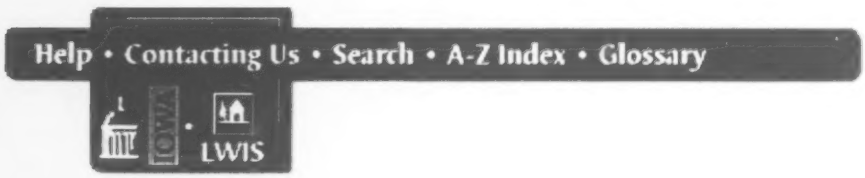
SantaVicca, E. Personal correspondence, March, 1992.

Foulds, M. S., and Foulds, L. R. "CD-ROM Disk Selection and Evaluation". *Reference Services Review* , Summer 1990, pp. 27-38, 44.

"Collection Policy for Electronic Information", Health Sciences Library, University of North Carolina, Chapel Hill.

"Collection Development Guidelines for Electronic Library Resources", Medical Center Library, Loyola University, Chicago.

Louise Darling Biomedical Library, University of California, Los Angeles. "Collection Development Policy for Computer Software". In Hannigan, G. G. and Brown, J. F. *Managing Public Access Microcomputers in Health Sciences Libraries* . Chicago, Medical Library Association, 1990, pp. 91-93. February 1994



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Copyright (c) 1996-1999. The University of Iowa. All rights reserved.
Please send comments to: webmaster@www.lib.uiowa.edu
URL: http://www.lib.uiowa.edu/collections/policy.html
Last updated: Tuesday, May 25, 1999

LIBRARY OF CONGRESS

COLLECTIONS POLICY STATEMENT
ELECTRONIC RESOURCES

1. Definition. An "electronic resource" is defined as any work encoded and made available for access through the use of a computer. It includes both online data and electronic data in physical formats (e.g., CD-ROM). To avoid confusion with these terms as used in the copyright process, online will refer to intangible works; physical to a tangible work.

The term "acquire" refers to any electronic resource, online or physical, which the Library receives though its various, typical acquisitions processes, or which the Library provides access to through official contractual, licensed, or other agreements; any of these electronic resources may or may not be owned by or housed at the Library. "Collect" refers to electronic resources owned by the Library and selected for the permanent collection, including works created by the Library. It may also include works stored elsewhere for which the Library has permanent ownership rights. "Link" refers to pointers from the Library's internet resources or bibliographic records to the Library and non-Library electronic resources, created and maintained by Library staff for a variety of purposes; "link" is not an act of acquiring, and electronic resources linked do not necessarily constitute an acquisition by the Library.

II. Scope. The Library collects materials in many formats to support its universal collections. This policy is intentionally general in order not to restrict the collecting of needed materials and to allow the Library to make these resources available as technology changes. It is the Library's policy with electronic works, as with all others, to obtain them through copyright unless they are not subject to deposit under sections 407 or 408 of the copyright law.

Selection of works for the collection depends on the subject of the item as defined by the collections policy statement for the subject of the work, regardless of its format. Formats include home pages, Web sites, or internet sites required to support research in the subject covered. The Recommending Officer responsible for the subject, language, or geographic area of the electronic resources is responsible for recommending these materials. Electronic editions of audio-visual materials, prints, photographs, maps, or related items are also covered by the Collections Policy Statements for their appropriate formats.

III. Criteria. The criteria used to evaluate electronic resources do not greatly differ from those used for books or materials in other formats. As with more traditional formats (e.g., motion pictures and recorded sound materials), the cost of the work and the requirements of serving, cataloging, storing, and preserving must be considered in the decision.

The Library selects electronic works for its permanent collections which rank high on the following list of criteria: usefulness in serving the current or future informational needs of Congress and researchers, reputation of the information provider, amount of unique information provided, scholarly content, currency of the information, frequency of updating, and ease of access. Priority is given to resources containing information not otherwise available.

The Library will facilitate access to various kinds of electronic resources which it does not maintain in its own collections by means of bookmarked links, special catalog records, or index systems. Recommending Officers are responsible for identifying and recommending resources to be linked. The Library will not consider these resources part of its permanent collections and will not archive them.

In the case of digital works for which the Library has permanent ownership rights but which are stored in off-site repositories not under the jurisdiction of the Library, the Library will legally contract with the repository to make the works available electronically to the Library, ensuring permanent access or future transfer to the Library for archival storage, as in the agreement between the Library and the UMI Company concerning U.S. dissertations.

IV. Specific Guidelines: Consider the following when making the decision to collect electronic works:

* **Content.** Give priority to items which will be of the greatest current or future use to Congress and or to the greatest number of researchers and staff.

* **Added Value.** If the material in electronic format is also available in print, the electronic resources should provide added value over its print equivalents, including timely access, lower costs, enhanced searching, or access from multiple workstations. The ability to make the resource available on a network among reading rooms in different buildings is a high priority.

* **Ease of Use.** The work should be easy to use, requiring minimum training. Documentation supplied by the vendor must be clear. Expensive items should be evaluated with an on-site pilot.

* **Maintenance.** The amount of support required by staff to make the resources available must be considered. The decision to collect resources requiring significant amounts of staff time to preserve, including migration to newer formats, must be weighed against the current and future scholarly value of the resources.

* **Standards.** The work should meet acceptable, commonly used technical standards, digital formats, and practices.

* **Equipment.** The work should operate on equipment and operating systems either currently or expected-to-be available. Resources requiring extensive, specialized, and/or expensive new equipment or storage space to make them available will be acquired only if the research value is indisputably high.

* **Output.** The work should provide convenient output to printers and/or users' files.

V. **Retention.** The Library is committed to preserving its electronic resources just as it is to ensuring enduring access to its collections in print and other formats. When the Library collects both electronic and print (or microform) versions of an item, the Library will retain for its permanent collections the print (or microform) edition of an item, as well as the electronic edition.

VI. **Computer programs.** The Library will select a representative sample of general purpose and application specific software and computer games for its permanent collection to document the history and development of this genre.

VII. **Agreements.**

A. **License Agreements.** The Acquisitions Directorate is responsible for negotiating and administering all licensing agreements with publishers except for works received through copyright deposit.

B. **Deposit Agreements.** The Copyright Office is responsible for administering special deposit agreements covering deposits of copyrighted works, either for copyright registration or mandatory deposit.

C. **Responsibility.** Custodial divisions and others using the electronic resources are, to the best of their ability, responsible for ensuring compliance with all license and deposit agreements.

VIII. Review. Given the rapid evolution of electronic resources, the Library will review this policy annually to ensure that it continues to serve the Library's current and future research needs.

June, 1999

Electronic Resources Task Force Report

May 1997

Executive Summary

The Electronic Collection Development/Management Task Force was charged by the University Library Dean to review the existing framework for selecting and funding electronic resources. After deliberation, the group has posed a new model which is both more distributed and team-based. Subject cluster-based teams would be created to assess priorities and requests within the cluster, drawing on designated technology liaisons who could advise each team on implementation options. A parallel fund structure is also recommended.

Further, the Task Force recommends that an Electronic Resources Steering Team ("E-Team") be created to play a lead role in monitoring issues associated with pricing and licenses, mediating between and among teams as needed, and weighing competing priorities for funding or implementation.

The Task Force's report suggests a framework for supporting the attendant (i.e., non-content) costs associated with electronic resources and outlines criteria for passing costs along to users or to academic units through cost sharing agreements.

Ultimately, many of the underlying issues are identified as *campus* issues, and the Task Force outlined major topics for Library strategic planning and broad community discussion.

A summary of Task Force recommendations is included in Appendix I of this report.

Task Force members included: Leighann Ayers, Wendy Lougee, Mike Miller, Mark Sandler, Barbara Shipman, and Linda TerHaar.

Electronic Resources Task Force Report

May 1997

1.0 Background

The rise of networked information resources presents unique challenges in supporting and managing resources which serve a campuswide audience. While collections associated with physical libraries have obvious ties to particular user communities, collection development librarians, and funding sources, the world of networked resources is far less straightforward.

The current environment for developing networked resources within UM's University Library is a mix of central and decentralized activity. By and large, recommendations for new electronic titles have come forward through individual libraries/selectors and are reviewed by PSC and CMDC. Issues associated with necessary hardware and software are then evaluated within Library administration. In addition, the AD for DLI's responsibility for electronic resources has included management of the process for license negotiation, aggregation of funding sources, and coordination of the selection and implementation process when necessary. Increasingly, development of networked resources is also the result of opportunities which arise-- i.e., partnerships with publishers rather than outright acquisition of commercial products.

The practices for funding electronic information resources have evolved over time. Originally a central fund was used for all electronic purchases; later cluster fund managers were given the responsibility for supporting specialized, stand-alone products (CD-ROM's). During the past two years, selectors have begun using subject funds for remotely served content, while a more aggressive pursuit of network licenses and publisher partnerships occurred centrally. Funding for this expansion has represented a mix of central Electronic Publishing funds and reallocation from cluster funds (through cancellations of related print subscriptions or other cluster contributions).

During this same time of transitions and tensions within the Library collection arena, a number of other forces have emerged. The University is instituting Responsibility Centered Management, and there have been questions about attribution of library costs. Tensions between the historic recharge models for information technology and the notion of the Library as a "free good" are also heightened as the boundaries between information and information technology blur.

With the move to distributed computing (where the capability for publishing and library functions is also distributed) the potential for other key players in the information arena has also increased. These and other trends stress our prevailing notions of collection and the appropriate strategy for managing and supporting electronic resources.

2.0 E -Task Force Charge

The Electronic Resource Management/Development Task Force ("E-Task Force") was charged in September 1996 to frame the operational and financial issues associated with networked resources. Specifically, it was asked to evaluate models for selecting, funding, and managing electronic resources in light of the changing landscape of the University's budget structures, trends in publishing, and the transitions involved in moving from print to digital media.

A summary of recommendations in this report is included as Attachment I.

3.0 The Changing Landscape

The Task Force identified a number of trends in the environment, many of which are not technology-driven per se, but rather reflect organizational, institutional, and environmental factors which may impact scholarly publishing and libraries. A selective inventory of major factors includes the following:

← The rise of distributed computing has allowed individuals and organizations to function as both publishers and libraries.

← The publishing world is highly volatile; some publishers are focusing on converting existing products to digital form, while others are already addressing added-value services and interactive products.

← New pricing models are emerging with high variability in options and higher price tags than print.

← Licensing options are becoming more complex-- e.g., offering "bundles" of content or options for leasing rather than ownership.

← Campus-wide site licenses challenge the current distributed investments in the same content (e.g., departmental and individual subscriptions).

← Archiving, or long-term access to digital collections, is a growing issue with potentially large, unknown costs.

← Increasingly, decisions about adding an electronic title need to be coupled with decisions about access--i.e., interface, data structures, retrieval engines, and user support.

These assumptions also helped shape the areas of the Task Force's discussion. Specifically, the group addressed issues related to:

- Selection: what activities relate to e-selection and how should these activities be organized?
- Funding: what fund structure is needed to support the selection activities? How should support costs of e-resources be factored into the selection process and how should they be funded?
- Charging Models: what costs are appropriate to pass along to users and under what circumstances?
- Campus partnerships: as resources and funding become more distributed, what principles should guide the Library's partnerships with campus units?
- Advisory structures: how do we organize systemwide coordination of e-resource issues over time?
- Campus issues: what issues are *campus* issues and how do we engage the campus?

4.0 Selection

The Task Force identified a number of assumptions about selector functions in the future. We believe selectors will play a broader role which encompasses resources within the Library, on campus, and on the Internet(s). In addition, selection decisions will, of necessity, become more collaborative--i.e., involving issues such as effective access structures, access systems and user support.

The Task Force identified several problems with the current structures for reviewing and selecting electronic resources. The current process:

- distances decision making from subject expertise,
- fragments the key decision components (with Public Services setting priorities, CMDC determining funding, and administrative review of necessary technology resources), and
- includes few incentives for selectors to weigh cost tradeoffs associated with multiple formats or different delivery options.

The Task Force recommends that the Library adopt a team-based selection model which provides the necessary expertise (subject, technology, and information structures) to assess and deploy digital content. Specifically, selection of electronic resources would be carried out in subject cluster-based teams which formally include expertise in system configuration, interface design and content structures. Staff

from Library Systems and the Digital Library Production Service (as appropriate) will be assigned to work with these teams (the Task Force suggests a single liaison assigned to each team with training provided to the technology liaisons about available systems, options, etc.).

Teams would be created for each subject cluster, including relevant subject selectors and convened by an individual designated by the subject cluster's manager. In addition, a Core Team would be created to select and manage foundation resources which are used by multiple disciplines and/or by the general or undergraduate user communities. A graphic representation of this model is included in Attachment II.

The advantage of this model is that it places the necessary expertise and responsibility for selection at the operational level, but recognizes that the selection of digital resources is (for the most part) inherently interdisciplinary--therefore, a team or group approach is appropriate. The structure also encourages the determination of priorities within subject groups. Teams would be responsible for assessing access system options for each electronic resource and determining cluster priorities. Recommendations for purchase/implementation would incorporate all elements of the decision---i.e., delivery option, license terms, technology resource needs, cluster priorities.

While this proposed structure responds to issues associated with incorporation of subject and technology/digital format expertise, the Task Force recognizes that there will be decisions which may require mediation-- e.g., "bundled offers" (e.g., the Academic Press license), other licenses which span multiple subject clusters. An Electronic Resources Steering Team (E-Team) is proposed. The E-Team would serve a purpose of monitoring trends in licenses, analyzing issues associated with selection and management of digital content, and mediating selection decisions which span multiple teams. (See section 8.0 below)

5.0 Funding

5.1 Structure and Allocation:

The Task Force identified two patterns that describe the current funding of electronic resources. First, as resources become more interdisciplinary, they are more likely to be funded centrally. Second, as the support (i.e., non-content) costs of implementing an electronic product increase, it is more likely to be funded centrally.

Similar to the issues associated with decisions on selection, as funding decisions are removed from selectors, the incentives for ongoing management and assessment of those electronic resources are removed as well.

In addition, the Task Force noted the variability in how electronic selection decisions are managed and funded in each cluster. A goal of the new recommended selection and funding structure would be to ensure parallel structures across units and place e-funding authority at the operational level.

The Task Force recommends that fund structures be developed to mirror the selector teams identified for electronic resources. So, for example, a Humanities Electronic Team would have a separate e-fund to manage, as would a Social Science, Science, Core content team, etc. It would be expected that funds would gradually be reallocated to these e-funds from subject funds to cover purchases which serve multiple subjects; cluster fund managers would have responsibility for making or negotiating allocations to these funds (either at the beginning of the fiscal year or with transfers during the year).

Cluster-based electronic resource teams would review potential purchases/licenses and set priorities for funding. Teams are also responsible for working with their technology liaison to assess implementation options and costs. When the Library's implementation/production resources are insufficient or scheduling issues arise, the E-Team will assess competing interests and determine priorities for the Library system as a whole.

Library subject clusters would be responsible for designating what electronic funds would exist, a review process within teams, and who has authority over cluster electronic funds. This design process would be coordinated through the E-Team, which will bear responsibility for implementation of the new model.

Individual selectors would continue to have the ability to select and fund subject-specific resources which have no support requirements (i.e., no non-content costs) from subject electronic funds. However, selectors would be encouraged to share these decisions within their teams to ensure broader awareness of these resources and cluster priorities. Team leaders will also coordinate decisions which involve another cluster, including the appropriate split of funding. In the case of joint funding, the unit funding the majority of the purchase will have primary responsibility for ongoing management of the title; contributed funds from the minority funding unit will be transferred to the lead unit (if the title is ever canceled, savings will be distributed proportionally). In other words, every electronic resource has a primary "sponsoring" team with responsibility for ongoing decisions related to the resource (e.g., retention, changes in delivery platform, etc.).

The Task Force recommends that a comprehensive training workshop be developed for team coordinators, technology liaisons, and the E-Team to provide essential background on the new process, available technology infrastructure, and to review principles for electronic resource decisions.

5.2 Support (i.e., Non-Content) Costs

It has always been the case that selection decisions have had attendant or support costs. New titles need to be processed, managed, and mediated through reference assistance. It is expected that in many cases electronic resources would be handled in a similar fashion. For example, cataloging staff would catalog print as well as electronic resources.

There are, however, some resource needs for digital materials which do not have analogs in the print domain. For example, storage and server costs do not have obvious corollaries within the Library's budget.

The Task Force developed the following chart to illustrate the components of support costs for digital resources. Note that "Library" refers to existing Library base budget funds; reallocation may be needed in some cases. "Incremental base funds" refers to centrally provided (from the provost) funds, while "external funds" refers to non-UM, partnership, or unit cost-sharing funds.

COST COMPONENTS	FUNDING STRATEGY
Content	Library & incremental base funds
Acquisition and Processing	Library
Intellectual Access	Library
Access Systems • Interface design • Application development	Library & external funds
• Storage • Server	Library, incremental base funds, & external funds
Library Infrastructure • Workstations • Connectivity	Library & incremental base funds
User Support	Library

The above chart highlights that there are areas--notably the development of access systems and library infrastructure--where the lack of corollary functions within the Library's budget means there are not obvious targets for reallocation. In fact, some of these areas--such as servers and storage-- are in the arena of infrastructure which has traditionally been supported centrally, though on a periodic basis (e.g., , shelving, facility renovations, or new buildings).

Partnerships have been developed (notably the Digital Library Production Service with ITD, AOP, and SI) which bring in funds and staff for this arena, but it is unlikely that these resources will be sufficient to meet potential demands. Arguments will need to be made to the University community that these ongoing and cumulating infrastructure needs will require a rethinking of prevailing support models.

While the task force did not discuss the related issue of what should go on the collection budget (since a previous committee had explored these issues extensively), it did note that it will be important to set up fund structures which provide incentives for weighing cost-tradeoffs. For example, it is desirable that all electronic content services should be on the collection budget in order to force choices among multiple modes of delivery. Another issue for the future may be the support for transaction-based acquisition of digital content. This raises questions about the relationship with interlibrary loan. The Task Force recommends that the report of the previous group be reviewed in light of the current environment.

5.3 Central Funds & Risk Capital

A central electronic resource fund will continue to be needed for purchases which span multiple teams (e.g., a license such as the Academic Press offer) or for team decisions which require one-time bridging funds to complete a purchase.

The Task Force recommends the establishment of a different category of funding and activity than is currently the norm--namely, the availability of "opportunity" funds and flexibility to pursue digital content that may have revenue potential or might leverage other content support. The group feels it is important to create fund structures which allow the pursuit of the conversion or development of digital content which has initial local costs, but might be offered to a wider audience for a fee. Funds should be available to allow this type of development venture. The notion is that the fund would be a renewable resource with commitments made to invest in a development effort, and revenues also flowing back in to replenish the fund.

7.0 Funding/Charging Models

It is clear that electronic resources will in many cases involve incremental costs which the Library cannot cover with existing base funds. In addition, academic units will differ in their interests and rate of incorporating electronic media in curricula and research and some will pressure the Library for more rapid deployment of electronic titles. The Task Force recognizes that these factors will challenge the Library to pursue user charges, partnerships, or cost-sharing agreements with academic units.

Libraries have traditionally been perceived as free goods, although over time, explicit charges have been introduced for services (e.g., online search services, FAST, Dissertation Express). In the future, new models for recouping support for the proportionally larger costs of network licenses will be necessary. In addition, the group noted that in a VCM environment, the notion of attributing costs to specific units may be more commonplace.

The Task Force raised several questions about models for charging or cost sharing. These included:

Why would the Library introduce charges or cost sharing?

For what content or services are charges appropriate?

Who or what organizational units should be charged?

The ***"why"*** question has both obvious and not-so-obvious answers. At a basic level, the Library may wish to recover (in full or partially) costs associated with delivering electronic resources (the support costs cited above).

Another rationale for charging for the content itself may be that the costs of the content prohibit the Library from moving ahead expeditiously; charges in this case allow the Library to enter into a license or purchase which might otherwise be impossible. Charging also may assist in managing access (e.g., to ration use) or provide flexibility for additional content development (e.g., subsidizing new resources with revenue from existing services).

The Task Force's response to the ***"what"*** question is the following list of recommended conditions under which charges might be assessed:

- Charges might be appropriate for electronic delivery when print options already exist. This model suggests that "easier access" is a sufficient condition for instituting charges.

- Charges might be introduced for higher-level services--e.g., added value or convenience options associated with electronic content such as profiling or current awareness services.

- Charges might be introduced for on-demand services (analogous to Dissertation Express) such as on-demand scanning/delivery, mediated printing of digital content, or other services which speed delivery.

- Charges might be passed on when the publisher assesses fees or royalties for individual transactions.

The ***"who"*** question raises several related issues. The Task Force noted that while in many cases charges will simply be passed on to individual users, there are other charging models which might more appropriately be called "cost sharing" since these models target units rather than individuals. In these instances, the Library and another unit agree to contribute to the financial support of a given electronic title or set of resources. These agreements may be based on mutual interest or, in some cases, on a desire to move more quickly than Library resources would allow to implement an electronic product. These agreements may involve the other unit contributing to a license or subsidizing all or part of any access costs.

In addition to cost-sharing agreements, it is likely the Library will be more involved in partnerships with academic units which involve joint support for electronic resources.

7.0 Campus Partnerships

In 1991, the Information Symposium Funding Committee recommended that electronic content might increasingly be funded through partnerships with campus units, particularly in order to respond more quickly to a unit's demands for digital content. While efforts along these lines have been few (notably, Medline), the potential for this in the future may grow. In addition, it is likely that library units will partner with academic units in collaborations which involve the academic unit providing the technology infrastructure for access (e.g., servers, system management) and the Library providing the content.

In light of this potential for various configurations of content support in a highly distributed environment, the Task Force identified principles for access and access systems which we believe should be endorsed by the University Library in this collaborative environment. These principles (described in Attachment III) cover the preferred methods and values for access, technology, and management of digital collections and should guide the Library in its partnerships.

8.0 Advisory Structures

CMDC has provided a forum to discuss funding issues and collection policies associated with electronic content. PSC has similarly had a key role in establishing priorities. However, there is a growing arena of activities for which neither CMDC nor PSC has the time nor in-depth background to address. The Task Force recommends the establishment of a standing lead team, the E-Team, dealing with selection and management issues related to electronic resource issues. Since electronic resource decisions involve content, infrastructure, technology, and user support, we recommend that the E-Team's organizational structure also reflect this cross-functional perspective and, therefore, recommend that the group would be convened by the AD for DLI who bears responsibility for Library electronic resources.

Specific functions of this group would include:

- implementation of the proposed new selection and funding model for electronic resources,
- ongoing monitoring of electronic resource and technology trends,
- analysis of large-scale licenses or decisions spanning multiple teams,
- the ongoing refinement of principles associated with access,
- coordination between and among teams,
- analysis of licenses, compilation of guidelines for licenses,
- ongoing revision of the Electronic Resources Guide for Selectors,
- analysis of competing priorities raised by teams, and
- assistance for teams on selection decisions where consensus cannot be achieved within a team.

The Task Force further recommends that the team be kept at a manageable small size (4-5 members), with members selected from all Library divisions, though not as representatives of their units, but rather to reflect on library-wide priorities and strategic choices. A plan for staggered changes in membership would be developed, with the initial group having responsibility for assisting in the implementation of the new selection and funding model.

9.0 Campus Issues

The changing landscape chronicled by the Task Force suggests that a fundamental shift in thinking about the Library's collection activity is needed. Heretofore, the campus has viewed the Library's collection and related collection management activity as relatively independent from other content or information resources on campus. This picture changes dramatically when resources are network accessible.

The Task Force has identified the following themes which warrant campus discussion in order to ensure that the transformations underway proceed with campus awareness and support.

← *The Distributed Information Environment*

Distributed computing carries both opportunities and potential risks. In the "old world," unit information resources (e.g., departmental libraries) certainly existed, but were not commonly shared. In the networked environment, unit resources can be shared to the benefit of the campus. The challenge is to develop a coherent environment which leverages distributed resources.

The Library can provide leadership with the critical functions necessary to build this coherence--i.e., content evaluation, determination of appropriate information structures for access, intellectual access to distributed information resources, and archiving/preservation of electronic content.

← *Scholarly Publishing*

While experimentation with network publishing is still in an infancy stage, there have been numerous indicators of changes in the prevailing economic models for scholarly communication. It is possible that digital production and distribution of publications offer some potential for longer-term savings, but in the near-term we are experiencing significant increases (from equivalent print products) associated with networked licenses.

Content licenses themselves reflect a new paradigm, requiring the campus to contend with issues of conditions of use, more limited resource sharing, and potential limitations on ownership. The Library has a responsibility to inform the campus about these fundamental changes in scholarly publication: higher costs, new conditions of access, and evolving questions surrounding copyright and intellectual property.

← *Campus Costs for Information*

The economic context on campus will change as the prices of electronic information formats stretch library acquisition budgets beyond their capability, leading libraries to assess fees and/or pursue partnerships with other units to support access. As publishers offer campus-wide site licenses, there is also a likely impact on unit and individual resources, e.g., individual and unit commitments and subscriptions may decline. A central challenge for the campus and the Library will be to tap or leverage a broader campus resource base in crafting a campus model to fund networked information resources.

A variety of funding models may obtain, including taxation of academic units for digital library access, agreements for cost sharing between units and the library, unit or individual support for electronic access, or hybrid systems which mix funds from unit, individual, and central library coffers. It will be critical for the campus to understand these potential shifts in support and arrive at an economic model which is rational and sustainable in the current VCM environment.

A specific issue related to Library funding relates to the current distinction between collection and other Library funds. Will networked resources, for example, offer potential savings in the management of physical collections (e.g., stacks management)? Could these savings

offset the costs of electronic content?

As information technologies and networked information resources become more closely coupled in "knowledge environments," campuses will have to arrive at funding models which better integrate the recharge methods associated with computing and "free" access models associated with libraries. A new community economic model for information goods and services may be essential.

← *Libraries as Archive*

The principle of library collections as cumulative resources on campus will be challenged as new transaction-based pricing options and dynamic agreements with information providers become more prevalent. Licenses will become more commonplace as the technique for acquiring access to electronic resources, creating a greater likelihood that access to information sources will be contracted for on a fixed-term basis.

Responsibilities for long-term maintenance of digital archives will need to be worked out within the scholarly and publishing communities, but it is likely that networked resources may come and go in the future, and libraries will either have to take on a greater archival role or accept the transitory nature of collections. These issues warrant discussion on campus.

← *UM Information Assets*

Individuals and units themselves have a great deal at stake vis-à-vis their own information resources. Current intellectual property policies of the campus allow individual ownership of scholarly publication in traditional media, however digital publication is currently ambiguously aligned with policies associated with software and patents (i.e., shared ownership with the University). The Library can play a leadership role in helping the campus better understand scholarly publishing, intellectual property, and other related issues such as conditions of use and long-term access issues (i.e., archiving and preservation).

10.0 Concluding Remarks

The Task Force has identified a number of tensions which will mark collection development and management during the next few years (or longer). In the past, selection involved acquiring discrete, largely static resources, usually funded by the Library. In the future, the concept of the "information environment" is more likely to be characterized by accessed, interrelated, dynamic information resources. This evolutionary path requires that the Library re-conceive how it organizes its support of selection, how it funds electronic resources, and the functions central to collection development and management.

The Task Force believes it is necessary to take a holistic approach to the component functions which support electronic collections--i.e., selection, management, funding, and support. We see our specific recommendations as closely tied to eachother. In addition, our deliberations have underscored that the processes involve and touch every division of the Library and, therefore, we have developed a model which we hope will be accountable to and draw upon all divisions as well.

11.0 Report Review and Implementation

The Task Force recommends that the report receive wide review and discussion, beginning with CMDC. As noted above, the proposed E-Team would bear responsibility for implementation of the plan. Specific decisions and activities to be covered include:

- development of charge for E-Team and identification of membership,
- configuration and leadership for each subject team,
- allocation of funds to the Core Team,
- identification of fund structures for each subject team,
- a training/educational program for selectors, team leaders, and technology liaisons, and
- a timetable for implementation.

While the Task Force did not discuss how best to raise and engage the campus with the five critical themes, we feel strongly that the Library must develop a systematic strategy for ensuring campus attention to the issues embodied in these themes. The E-Team is a resource group to assist in this process.

Attachment I

SUMMARY OF RECOMMENDATIONS OF ELECTRONIC RESOURCES TASK FORCE

← Adopt a subject team-based model for selection which includes subject and technology/access systems expertise.

- Establish electronic resource teams for each subject cluster and a core team for general resources

• Establish a technology liaison group with members to work with subject/core teams.

← Establish an ongoing steering group, the E-Team, to implement the new structure, evaluate trends and policy issues, and coordinate or mediate individual team activity.

← Establish fund structures which mirror the subject/core teams and also support for opportunity-based activity. Funding for electronic content would come from reallocation and incremental base budget support.

← Develop a comprehensive training workshop for electronic resource team coordinators, technology liaisons, and the E-Team to provide necessary background on the new process, available technology infrastructure, and to review principles for electronic resource decisions.

← Review the previous committee report on the scope of the collection budget.

← Establish a central "opportunity" or "risk capital" fund to support electronic content which may have revenue potential or provide other leveraging opportunities.

← Endorse statement of principles for campus partnerships which will guide the Library in implementing and managing electronic collections.

← Review and adopt guidelines for user (individual or unit) charges.

← Establish mechanisms to inform the campus about issues surrounding electronic information, including: changes in the publishing community, costs and responsibilities for managing electronic information, and the risks and opportunities for the institution.

ATTACHMENT III

GUIDING PRINCIPLES FOR LIBRARY

PARTNERSHIPS WITH CAMPUS UNITS

The following principles should guide the University Library in working with academic units to implement and support digital collections.

Selection/Access Principles:

Campus-wide access to networked information is strongly preferred. Restrictions on access within the campus community should be avoided.

Library building-only access to specialized networked information is acceptable as long as the content is available on a walk-in basis to the campus community.

Agreements limiting access to networked information to a specific department or school should not be pursued if the content is Library-supported. Where departmental funds are used or contributed, negotiation may be necessary. The Library's Electronic Resources Steering Team (E-Team) may serve as a forum to resolve such differences.

Licenses and partnership agreements with publishers should provide for flexible use of the electronic resources, including capabilities for locally designed functionality where possible/appropriate.

Technology Preferences:

Note: many of these are drawn from the recently drafted CIC Guidelines for Near-term Electronic Collection Activity.

For the near-term, the World Wide Web is considered the preferred access strategy for network-accessible information. The campus access strategy will need to balance speed and search power with the flexibility of web access.

Given the heterogeneity and hierarchy of access and search systems, higher order meta-access strategies (e.g., metadata) may provide cross-collection, cross-institution, search capability. Linkages to legacy bibliographic systems will remain important.

To reduce undue complexity and maintenance requirements, proprietary clients should be avoided.

Portable and standards-based data formats are important to ensuring future migration, integrity, and usability of digital resources.

Systems and services which require service-specific individual account management on the part of the Library or campus should be avoided or carefully assessed.

Collection Management:

Managing access to digital content for long-term access for the University community is more important than who actually pays for the data or owns the server. Flexibility and open communication with all parts of the University will be essential in forging an acknowledged campus strategy.

Partnerships with academic or other campus units should include determination of archival responsibilities. Where there is local ownership of data or where unique content is being provided, the partners should ideally assume some responsibility for long-term access to the content.

If fees are assessed for access to the content, a cost-based model for determination of fees should be employed.

Partnership with other groups on campus may be desirable in order to avoid duplication of effort, to effectively use campus resources, and contribute to the larger community of electronic resource activity.

Procedures For

Selecting and Providing Access to Networked Electronic Resources

I. Purpose and Audience

The purpose of this document is to provide the infrastructure for making decisions about choice and means of access to networked electronic resources (ER). Directed to all Libraries staff members who participate in the selection of electronic resources, it is designed to:

- meet a wide spectrum of user needs by adopting a system-wide approach to decision making,
- integrate selection of electronic resources with other collection development activities, and
- promote accountability for decision-making.

II. Description of Resources Covered by these Procedures

This document covers resources that meet the following criteria. The resource will be:

- accessible through the LUMINA gateway (i.e., on a local or remote network), and
- purchased, rented, leased, or licensed via the expenditure of funds.

As a general rule, this document does not cover:

- staff tools,
- general purpose software,
- courseware, and
- remote resources for which there are no subscription charges and for which there are pointers on Libraries WWW pages.

III. Responsibilities for ER Selection Decisions

Selectors are responsible for:

- selecting all ER that are purchased with individual subject funds;
- recommending ER to CDM that might need subsidized funding;
- recommending ER to DSAC that might be purchased with off-the-top funding (all such recommendations should be endorsed by the Collection Development and Management (CDM) Team before coming to Data Services Advisory Committee (DSAC));
- providing information on which the CDM Team can base its recommendations;
- reviewing licenses and contracts for materials they select;
- meeting with a designated member of the Automated Systems (AS) Team to discuss implementation/access issues related to selected ER;
- if AS Team determines that existing staff, hardware, or software resources are inadequate to support implementation, then the selector submits the proposed ER and analysis of potential costs to DSAC.

DSAC is responsible for:

- reviewing selector recommendations for off-the top funding in light of system-wide needs and impact,
- recommending to LLC (Library Leadership Council) which ER should be funded off-the-top (through periodic review)
- recommending to LLC what means of access will be provided, and
- recommending to LLC implementation priorities.

LLC is responsible for:

- making final selection decisions,
- setting priorities for implementation,
- allocating funds for resources paid for off-the-top of the materials budget and ensuring that adequate staffing, hardware, and software are provided for all aspects of implementation.

The Libraries Automated Systems Team is responsible for:

- coordinating implementation work in cooperation with computer center staff, staff in other library units, the Web team, and vendor staff as appropriate, and
- advising selectors on potential costs of implementing an ER when implementation will require resources in excess of those available.

IV. Budget Structure and Allocation Procedures

The funding for ER comes either off the top of the materials budget (for very general resources) or from individual subject fund lines. Individual selectors or selectors within a more broad subject area (for example, Science and Engineering) may combine money from various individual subject funds to purchase an ER. When at all possible, the management of budgets for ER should be in the hands of selectors to foster selection and budget accountability.

V. Relationship to Other Libraries Policies and Programs

Services and operations in many areas of the Libraries are part of maintaining, accessing, and servicing ER. The following are provided as references.

Selection of ER is the responsibility of the CDM Team, guided by the *Libraries Selection Policy* and existing subject collection development policies.

Procedures for the acquisition of ER are the responsibility of the Materials Acquisition and Control (MAC) Team in consultation with the CDM Team and Library Accounting.

Procedures for intellectual access to ER are the responsibility of the MAC Team (for MNCAT records) and the Reference and Consultation Services (RCS) Team (for the Libraries Web page and interface), in consultation with the CDM Team.

Coordinating and final review of ER contracts and licenses are the responsibility of the Assistant University Librarian.

VI. Review and Revision of the Policy

This policy is drafted by DSAC and endorsed by LLC on May 27, 1998.

DSAC will review the policy as necessary and recommend revisions to LLC for approval.

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Networked Electronic Publications Policy and Guidelines

Electronic Collections Coordinating Group

National Library Of Canada

October 1998

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I. INTRODUCTION

OVERVIEW

The present shift toward electronic publishing in a networked environment raises a set of issues that expands and changes the way the National Library of Canada is fulfilling its heritage mandate. The current *Collection Management Policy* (1990) has already addressed the acquisition and preservation of electronic publications on physical media, but separate policy and guidelines are required to deal with identifying, locating, acquiring, reporting, storing and preserving networked electronic publications. Such publications are obtained over networks via protocols such as file transfer, electronic mail, or hypertext transfer. If these publications are not captured and preserved, major gaps in the Canadian heritage and research tools of the nation will occur.

Given the National Library's mandate to preserve the Canadian published heritage, simply acquiring the right to point or link to an electronic publication stored at the publisher's site is not sufficient to ensure the long term accessibility and preservation of Canadiana items. NLC must obtain an electronic copy of an electronic publication selected for its permanent collections. Experience to this time indicates that preservation of electronic publications cannot be left to electronic publishers, just as preservation of publications in other media is not left to publishers. Long-term preservation means ensuring that a publication survives long after copyright has expired and any archiving activity of the copyright holder or publisher has ceased. By acquiring an electronic publication from the originator as soon as it becomes published, the NLC is assured of preserving the integrity of a publication as originally released. The Library is also able to verify and ensure that the electronic publication is in a form that is readable by standard software and therefore accessible for current and future generations of readers and researchers.

HISTORY OF COLLECTION

The NLC has been building its collection of networked electronic publications since the summer of 1994. Following the recommendations of an earlier study, [1] the NLC conducted a pilot project during the period June 1994 to July 1995 to acquire, store, preserve, catalogue and provide access and service for a small number of existing Canadian on-line electronic journals and other representative publications available on the Internet. This project was called the Electronic Publications Pilot Project, or EPPP. One of the first activities of the EPPP was to define which types of electronic publications the NLC should acquire and preserve. This was accomplished by stating what, for NLC purposes during the pilot, an electronic publication was not. These exclusions were stated in terms of Internet delivery protocol and style of content and included World Wide Web and Gopher sites, electronic mail, bulletin boards, and on-line databases. The EPPP issued a final report in October, 1995 [2] which made a series of recommendations on a number of issues, including copyright, selection, and long term preservation. A revised public version of the final report was made available for distribution and mounted on the NLC Web site in June, 1996. [3] Much of the following policy and guidelines grew out of the recommendations of this project and the ensuing discussions and work conducted by various NLC committees since the Final Report's release.

Legal deposit of electronic publications

Background and Legal Implications

Legal deposit is the National Library's primary mechanism for acquiring publications issued in Canada. At present, it is still being determined whether current legal deposit legislation can be interpreted as covering networked electronic publications or whether amendments to the National Library Act will be required. The main advantage of extending legal deposit to network publishing is that it gives NLC the legal authority to acquire electronic publications for the national collection.

The NLC recognizes that there are inherent problems in applying a Canadian law like legal deposit in an international communications medium that does not necessarily recognize jurisdictional borders. For example, what would define a publisher as "Canadian" or a network site as "Canadian" given the ease with which networked sites can be mirrored and networked publications can be copied (i.e., many resources at a Canadian site may not be Canadian in origin) and given the volatility of network addresses (i.e., a document hosted at a Canadian site can be easily transferred to non-Canadian sites which are outside the jurisdiction of Canadian laws).

Selection Policy and Legal Deposit

The main difficulty in extending legal deposit to network publishing is that legal deposit is a relatively indiscriminate acquisition mechanism that aims at comprehensiveness. In the network environment, any individual with access to the Internet can be a publisher and the network publishing process does not always provide the initial screening and selection at the manuscript stage on which libraries have traditionally relied in the print environment. In addition, because electronic publishing is innovative and changing in nature, legal deposit legislation should remain open-ended

enough to incorporate a wide range of existing and potential electronic materials and should stipulate as few restrictions as possible. Selection policies are therefore needed to ensure the collection of publications of lasting cultural and research value.

II. BASIC POLICY STATEMENTS

1. ACQUISITION

1.1 General Parameters

1.1.1 The National Library operates on the basis that anything that is made available to the public on a communications network, such as the Internet, can be considered as "published" for the purposes of collection.

1.1.2 An electronic publication normally comprises the linked objects on one communications network domain which are judged to be intrinsic to the publication.

1.1.3 The National Library collects networked electronic publications according to assigned levels of access and preservation which are determined by the publication's significance in fulfilling the library's mandate and in supporting library services.

1.1.4 In collecting a distinction is drawn between Canadiana publications which are released initially, or solely in networked electronic format (i.e. original) and publications released in both networked and other media formats (i.e. multiple release).

1.2 Canadiana

1.2.1 The definitions of Canadiana, including the definitions of Canadian creator and Canadian subject, and the categories and types of materials collected as outlined in the Canadiana Collection Guidelines in the *Collection Management Policy* (1990), apply to the collection of networked electronic publications.

1.2.2 The National Library endeavours to collect comprehensively and archive indefinitely original Canadiana networked electronic publications of Canadian origin and published abroad.

1.2.3 The National Library collects selectively Canadiana networked electronic publications released in both networked and other media formats where appropriate to complement or enhance Canadiana collections in other formats.

1.3. Non-Canadiana

1.3.1 The collection intensity indicators (i.e. comprehensive, research, instructional support, basic information, and minimal), and chronological, geographical, and language coverage delineated for non-Canadiana in the *Collection Management Policy* (1990) apply to the collection of non-Canadiana networked electronic publications.

1.3.2 The National Library collects selectively non-Canadiana networked publications in the areas of emphasis and to support library services.

1.4 Versions/Editions

1.4.1 The National Library does not necessarily collect every version/edition of all networked electronic publications collected. The frequency of capture will vary from comprehensive to representative and will depend on factors such as publication pattern, scope of changes, and the overall significance of the publication.

1.5 Formats

1.5.1 The National Library, whenever possible, collects, displays, provides access, and stores networked electronic publications in the formats in which the publications were published.

1.5.2 The National Library does not collect every format of all networked publications collected.

1.5.3 The National Library allocates priority to collecting standard format publications.

1.5.4 The National Library ensures that formats collected include those accessible to the perceptually disabled.

2. ACCESS

2.1 The National Library is committed to providing universal, equitable access to networked electronic publications as a public good.

2.2 All networked electronic publications collected by the National Library are in principle accessible to both on-site and off-site users.

2.3 The National Library recognizes that there may be restrictions on access to some materials from time to time. Where necessary, and where possible, restrictions on access will be for a negotiated limited time period.

2.4 The National Library provides access to its electronic information resources in such a way that intellectual property rights are respected as required by Canadian law.

2.5 Networked electronic publications are organized, indexed, and made accessible.

2.6 Bibliographic access to networked electronic publications is generally provided through the AMICUS database and associated products. Cataloguing levels applied to electronic publications are based on the same criteria as those for other formats. Bibliographic access to electronic publications acquired at the linked level may be provided by other means.

3. PRESERVATION

3.1 The National Library takes preservation measures to ensure the longevity and accessibility of its electronic collection.

3.2 The National Library normally preserves electronic publications in electronic form.

3.3 The National Library endeavours to preserve the content, the functionality, and the presentation of all archived networked electronic publications. Priority is given to the preservation of content.

3.4 The National Library preserves networked electronic publications in standard formats and may convert non-standard formats to standard format when necessary and feasible.

3.5 The National Library in general does not compress the electronic publications in its collections.

3.6 The National Library may enter into agreements with other institutions to ensure the collection, preservation, and access, of certain categories and types of Canadiana networked publications.

III. SELECTION POLICY

OVERVIEW

The National Library is operating on the basis that anything that is publicly available on a communications network, such as the Internet, can be considered as published. [4] The potential volume of material to collect is therefore overwhelming in relation to the technical and human resources available. Furthermore, in the electronic environment, collecting is made more difficult because the distinctions between traditional categories of publications such as monograph, serial, manuscript, working draft, and record tends to be blurred, the units of publication are often smaller, and the structure and content of publications is frequently dynamic in nature. A level of selectivity is therefore necessary and this will be achieved by the National Library in two ways. First, though a system of assigning an "electronic collecting status" to a publication to indicate the access and preservation commitment intended and second, through the application of selection criteria which generally will be more restrictive than for publications in other formats.

Networked electronic publications allow for an expansion of the concept of collecting which is not limited to items which are physically maintained in a particular collection, whether that maintenance is via an electronic file on a server or a shelf in a library building. Collecting can mean the conscious and judicious provision of organized access to a wide range of publications, some for which the host organization or institution has taken responsibility to preserve and others whose long or short term preservation is the responsibility of others. The adoption of this approach to collecting by the NLC means that during the selection process, publications will be reviewed and an appropriate collecting status determined based on the access and archiving commitment desired for that publication. Factors considered will be the cultural significance of the publication and its importance in supporting services and the fulfillment of the National Library mandate. The National Library will therefore acquire some electronic publications, place them on NLC servers, and ensure their long term storage and access, while in other instances, it will simply point to electronic publications which exist on remote servers. Some publications, for example, those which are non-Canadiana items required to support services, will be made accessible on NLC servers but not archived.

The collecting status will be applied in tandem with specific selection criteria. The National Library will only endeavour to be comprehensive in collecting and archiving "original" Canadiana networked publications and will collect selectively

Canadiana publications released in both networked and other media formats where appropriate to complement or enhance Canadiana collections in other formats. [5] In addition, the National Library will not necessarily attempt to preserve all versions/editions of a particular electronic publication collected. In the on-line environment, publications can and do change frequently and it is not feasible to capture all instances of change in all cases. A decision on the frequency of capture desirable for a title will need to be made based on the publication pattern, the importance of the publication, and the amount of significant changes. Some titles will have versions/editions collected comprehensively, while others may have a "snapshot" taken on a regular basis. Non-Canadiana publications will be collected selectively in the areas of emphasis and in order to support library services.

ELECTRONIC COLLECTING STATUS

The Berkeley Digital Library SunSITE has articulated a Collection and Preservation Policy [6] that outlines four digital collecting levels which include a designation of preservation commitment. The original Berkeley concept of "collecting" which is tied to access mechanisms and preservation commitment has been adopted and revised by the National Library to reflect our collecting practices as a national library. Three levels of electronic collecting status will be used by the National Library : **Archived, Served, and Linked**. The examples of the application of collecting status which follow are not meant to be comprehensive or exclusive but are cited to give a general idea of how levels will be applied.

Archived:

The publication is hosted/mounted on the National Library's site and the NLC has made a commitment to keep the intellectual content of the publication available on a permanent basis. Responsibility for maintaining access to the publication rests with NLC and the types of access available can include on-line, near-line and off-line as appropriate. Once Archived status is designated, a publication cannot be downgraded to another level.

> *Archived status will be applied to original Canadiana publications, "original" meaning those Canadiana publications released initially, or solely, in electronic format and may also be applied to multiple release Canadiana publications, "multiple release" meaning those Canadiana publications released in both networked and other media formats, e.g., print.*

Served:

The publication is hosted/mounted on the National Library's site but the NLC has not (yet) made a commitment to keeping it available permanently that it has for "archived" materials. This status can either be applied (1) as an interim or transition status for a publication awaiting a decision as to Archived status, or (2) to a publication for which there is definitely no commitment to archive and another institution/organization is recognized as having primary responsibility for the publication content and its maintenance.

> *Served status would generally be assigned to multiple release Canadiana electronic publications, or to original and multiple release Canadiana publications for which archiving responsibility has not yet been determined, for example, publications under negotiation with publishing bodies or other archiving institutions. It could also be applied to non-Canadiana publications required to support NLC mandate and services, for example, the National Bibliographies of other countries, reference collection materials, the official publications of foreign countries, and the publications of international organizations of which Canada is a member.*

Linked:

The publication is hosted elsewhere and the National Library provides a link to the remote site by pointing to the publication at that location. The NLC has no control over the publication but is committed to the on-going maintenance of the link.

> *Linked status could be applied to the same types of non-Canadiana publications outlined in Served status above if it is determined there is no service requirement to have the publication mounted locally.*

The National Library will concentrate its activities on publications at the **Archived** level in order to ensure permanent access to Canada's electronic heritage, while at the same time providing extensive access to other publications and support for different types of services that utilize the other levels of electronic collecting.

SELECTION GUIDELINES AND CRITERIA

The NLC is applying a deliberately broad definition of a networked electronic publication as "a digitally encoded information resource made available to the public through a communication network". [7] Within this broad definition, a narrowing of collecting focus is achieved by the application of sets of selection criteria specific to Canadiana and non-Canadiana publications and guidelines applicable to format selection. The criteria and guidelines will be applied in tandem with the designation of electronic collecting status. The selection criteria for Canadiana generally pertain to publications having **Archived** status, while criteria for non-Canadiana generally pertain to publications at the **Served** or **Linked** level. The intention is that these criteria and guidelines will be reviewed periodically in order to reflect changes

in collecting priorities and relevant developments in the rapidly changing world of electronic publishing.

Selection Criteria Canadiana Networked Publications

1. Consider a networked electronic publication to be Canadiana if (1) it is of Canadian origin, or (2) it is of foreign origin and has a Canadian subject, or the creator is Canadian.

2. Apply the definitions of Canadian subject and Canadian creator and the categories and types of materials collected as outlined in the Canadiana Collection Guidelines in the *Collection Management Policy* (1990) to the selection of electronic publications.

3. Determine the Canadian origin of an electronic publication using the following criteria (in order of significance):

   (a) the geographic location given in the publication or accompanying descriptive material (e.g. metadata provided by the author),

   (b) the location of the publishing organization if it can be established,

   (c) the domicile of the first author,

   (d) the nationality of the author(s),

   (e) the primary location of the publication on a public network, i.e. the distributor.

4. Preference should be given to electronic publications issued by the originator rather than taken from a secondary source.

5. Select comprehensively "original" Canadiana networked electronic publications which are in accordance with the Canadiana Collection Guidelines. Determine if a networked publication is "original" by using the following criteria:

   (a) the publication is released initially, or solely, in networked electronic format,

   (b) the publication is a newly arranged compilation or selection of previously published materials,

   (c) the networked publication is a parallel publication to another format version (e.g., print) but the networked version contains enhanced information content and/or functionality, e.g. graphs, sound, indexes, etc., which is not present in the parallel version. The existence of links in the networked version, either within the publication or to outside sources, is not by itself considered a sufficient enough enhancement to give the publication "original" status.

   N.B. When the networked publication has previously been published in another format and the networked version contains no enhanced information content and/or functionality when compared to the originally published version, the networked publication is considered not to be original.

6. Select Canadiana networked publications which are not original on a selective basis where appropriate to complement or enhance Canadiana collection in other formats.

7. Priority in selection of Canadiana which is not original with regard to publication status and relationship to other works should be as follows:

   (a) A complete digitized "reprint" of non-electronic material no longer "in print",

   (b) A complete electronic publication which parallels a current publication in non-electronic format.

8. Preference should be given to publications which are complete, independent, self-contained and coherent entities. Consider the boundary of an electronic publication as normally comprising the linked objects on one communication network domain which are judged to be intrinsic to the publication.

9. Priority areas in selection with regard to publication content and type should be as follows:

   (a) Canadian federal official publications,

   (b) Publications in the areas of emphasis: Canadian Literature, Canadian Music and Music in Canada, and the Historical Approach to the Development of Canadian Society,

   (c) Canadian library literature,

(d) Reference tools. (e.g. directories, indexes),

(e) Canadian provincial government publications.

10. Select the first and subsequent editions of a publication. To determine whether a new version should be regarded as a new edition, the following criteria should be applied:

(a) the version of the publication is announced as a new edition, i.e., as indicated in wording or by means of a number, date, or code.

(b) the publisher regards the version as a new edition.

(c) the changes to the new version of the publication are significant.

11. Determine the frequency of selection of new versions/editions of dynamic, frequently changing, publications on an individual basis. Selection can vary from comprehensive to representative based on consideration of the following criteria:

(a) the significance of changes between updates,

(b) the significance/importance of the publication,

(c) the resources associated with handling, storing and preserving.

N.B. On-line databases are to be selected when required for demonstrated specific reasons and are generally to be preserved on a representative basis only, i.e., the first and last version, and intermediate snapshot versions could be collected.

12. Select public communications (i.e. bulletin board systems used to support chat groups ; e-mail communication between groups and individuals, including discussion groups and listservs) on a selective basis according to the following criteria:

(a) the topic(s) under discussion is significant and relates to the areas of emphasis or library and information science,

(b) the communication is of a controlled nature, e.g., a closed, or moderated, list,

(c) the National Library is a participant/subscriber,

(d) there are no restrictions to collecting related to copyright or privacy concerns.

13. Preference should be given to acquiring standard formats when an electronic publication is available in more than one format.

14. Priority should be given to the selection of audio and video formats which are integrated as parts of other fuller text and/or image based electronic formats.

Exclusions Under Selection Criteria For Canadiana

The following categories of publications, as defined, are generally not selected for archiving in the Canadiana collection. Limited selection of certain categories of publication can occur under specific conditions as outlined. The **Linked** level of collecting can be used to provide access to these categories of publications.

(a) *Items which can not be physically acquired and stored under full control of the Library's technical environment until the necessary technical environment can be put in place.*

(b) *Informal or incomplete publications* . Included are the following publication types: works in progress, drafts, pre-prints, non-official versions/editions, abridgments, e.g. selected articles or chapters, abstracts, and table of contents.

(c) *Promotional sites and advertising materials* . Generally are not collected, although samples may be taken on occasion for their value as ephemera.

(d) *Hypertext linked, open, highly distributed documents* . "Open" documents contain links to other sources not under the control of the author, as opposed to "closed" documents, where all links point to items located at the same source. Open documents consisting primarily of pointers to other network locations are not physically depositable in that they can not be preserved in their integrity for the future. The approach taken for these documents is to ensure access as long as document exists on the network by establishing a link.

(e) *Service Sites* . Web sites which are listings of links for the purpose of organizing Internet information.

Selection Criteria Non-Canadiana Networked Publications

1. Preference should be given to electronic publications issued by the originator rather than taken from a secondary source.

2.
3. Priority in selection with regard to publication status and relationship to other works should be as follows:

   (a) A current electronic publication not available in any non-electronic format.

   (b) An electronic publication which provides more functionality and accessibility than its corresponding print format version.

4. Select non-Canadiana titles in the following areas on a selective basis:

   (a) Publications which support the areas of emphasis: Canadian Music, Canadian Literature, Historical Approach to the Development of Canadian Society.

   (b) Library literature.

   (c) Reference tools (e.g., directories, indexes).

   (d) Publications which support resource sharing (e.g., union catalogues)

5. Apply the collection intensity indicators (i.e. comprehensive, research, instructional support, basic information, and minimal), and chronological, geographical, and language coverage delineated for non-Canadiana in the *Collections Management Policy* (1990) to the collection of non-Canadiana networked electronic publications.

6. Linking to the latest version of a publication should be considered an appropriate collecting level for most publications.

7. Preference should be given to linking directly to a publication as opposed to linking to the Web site on which the publication resides.

8. Preference should be given to linking to the most user-friendly format when an electronic publication is available in more than one format.

9. Linking to a single format supported by the National Library systems should, in most cases, be sufficient to provide access to a publication.

Selection Criteria For NLC Electronic Publications

The following criteria outline what types of National Library of Canada produced publications which are part of the NLC Web Service are to be added to the Electronic Collection. In general, paper publications produced for public distribution by the National Library will normally have an electronic equivalent, as will displays and exhibitions undertaken by the Library.

INCLUSIONS

(a) Items having print equivalents which are catalogued and accessible in AMICUS.

(b) Items having an ISSN or ISBN.

(c) Items which are "entire" publications and not chapters or sections from larger publications.

(d) Items which had they been released in other formats, e.g. print, would be made accessible via AMICUS.

(e) Database-based items which would be catalogued if they were available in a physical format (e.g. CD-ROM).

(f) Items which result from a "deliberate gathering" of material to create something which is unique and original.

Examples:

NLC Annual Reports, NLC Publications Catalogues, NL News, Forthcoming Books, all bibliographies, all Digitization projects, all virtual exhibitions, Canadiana Quick Reference.

EXCLUSIONS

(a) Items which are evidently parts of other publications.

(b) Policies which are not considered to be formally published. These are to be held in the NLC records management system.

Examples:

Reference policy, Virtual Canadian Union Catalogue proposal.

Guidelines For Format Selection

Policy related to selection of electronic publication formats was first developed in the *EPPP Report* (October, 1995) and later outlined in a draft working document, *Canadiana Electronic Publications Selection Criteria* (January, 1996). A firmer and more up-to-date policy on formats was developed in 1997 by the Electronic Collections Committee in order to aid Acquisitions staff in their daily decision making when selecting electronic publications. The guidelines and general principles developed are as follows:

- The basic underlying principle is that the collection policies and guidelines for both Canadiana and non-Canadiana, in other words, the content of the publication, is the paramount consideration in selection of an electronic publication and is then followed by a consideration of formats available.
- The development of selection guidelines on formats for electronic publications must be centered in a recognition of the evolutionary nature of the media and the acceptance that format choices developed today must be reviewed and amended on an ongoing basis. It is therefore practical and helpful to establish certain general principles which can act as guidelines in the selection of formats. Acquisitions staff can then maintain a priority listing of current formats based on these general principles.
- The choice of format types at the time of selection of Canadiana publications should be inclusive in order to increase our future options for preservation. A more exclusive approach, including conversion to other formats or weeding, can take place, if necessary, at a later date when the survivability of the format is more evident. When conversion does occur, the inclusion of a format history in the catalogue record of the publication will guarantee that the historical context is preserved. For non-Canadiana, a single format which is supported in-house is sufficient.
- The emphasis is on the selection of standard formats but in order to broaden the Library's short term access options for a publication, a mix of standard and proprietary formats is acceptable, in particular, when a non-standard format differs in content or presentation, or is more user-friendly. With proprietary formats, it is preferable to select only one format from the same vendor. Word processing formats are to be excluded unless they are the only format available. Formats collected should include those accessible to the perceptually disabled.
- Given resource constraints, it is not realistic to suppose that the National Library can collect and preserve all formats of an electronic publication. Even though the correlation is not a direct one, it is recommended that the Library apply the same guideline to the number of formats collected as is currently applied to the number of copies of a publication, i.e. that at the discretion of the selector, the maximum number of formats collected will generally be three. This recommendation is made in recognition that there is a certain redundancy of content in differently formatted electronic publications which allies them more closely to copy than edition status.

General Principles Followed In Format Selection: Canadiana

The following principles are ranked according to the importance and influence they have in the format selection process for Canadiana:

1. Ability to acquire complete publication.
2. Ease or probability of preservation.
    - preservation of publication integrity (content, fixity, internal references)
    - downloadability
    - survivability (ability to convert, to migrate)
3. Ability to assure current access/ease of use for clients.
    - user requirements i.e. "lowest common denominator"
    - popularity,
    - searchability
    - "attractiveness"
4. Ease of acquisition (i.e. automated).

General Principles Followed In Format Selection: Non-Canadiana

The following principles are ranked according to the importance and influence they have in the format selection process for non-Canadian publications:

1. Ability to link to the latest, complete version of the publication.
2. Ability to assure current access and ease of use for clients.
3. Ease of link maintenance.

IV. ACCESS POLICY

OVERVIEW

The National Library is committed to providing universal, equitable access to networked electronic publications as a public good, therefore, all networked electronic publications collected by the National Library will be in principle accessible to both on-site and off-site users. Access to the National Library's electronic information resources will be provided in such a way that intellectual property rights are respected as required by Canadian law. The National Library recognizes that there may be restrictions on access to some materials from time to time. Where necessary, and where possible, restrictions on access will be for a negotiated limited time period. All electronic publications will be organized, indexed and made accessible through the NLC Web service, or its successor. Access will include bibliographic access integrated with full text access to publications and other listings as appropriate.

The NLC's role is one of a working research library rather than strictly a national repository with preservation responsibilities, therefore, the NLC pursues free and universal access to all electronic publications in its collection with negotiated rights access as a fall back position when required. There will always be some electronic publications that the NLC can make freely available to all its clients, even to clients employing devices external to the library, either because the copyright on the work has expired, or the copyright holder for the work has granted permission to make the publication freely available on the NLC server. For other publications, access restrictions will be kept to the minimum possible and the NLC will at the very least make all of the electronic publications in its collection available to clients on NLC premises.

The NLC will keep track of copyright permissions and restrictions on electronic titles in its collection by recording the copyright status and by using existing interpretations of Canadian copyright law and fair dealing. Yet it is "the NLC position that public access rights to e-publications, with limitations to make such access similar to the borrowing of publications in other media, should be made available to the public without risk of copyright liability to the NLC". [8]

ACCESS OPTIONS

The possible approaches to providing access to publications and the potential applications of these approaches includes, but is not limited to, the following:

Open Access . No restrictions on access apply to on site or off site clients, either because the copyright for the publication has expired or, the holder of the copyright has granted permission to the NLC to make the publication available freely.

Controlled remote access . Remote access is limited to only one access at a time, the electronic equivalent of InterLibrary Loan; or remote access is available only to specified groups, for example, registered libraries, registered clients; or remote access is limited to differential information levels of the publication i.e., bibliographic data, table of contents, abstracts, and full contents.

Time windowing . Initial restrictions are placed on the number of remote accesses to an electronic publication within a given time frame, followed by more liberal access afterwards.

On-site consultation . Access is limited to only NLC users (users on our domain) on site within the Library. An enhanced level of this option could allow publications to be sent electronically to registered libraries in the NLC network for provision of on-site access on the network library's premises.

BIBLIOGRAPHIC ACCESS

The electronic collecting status assigned a publication will be a factor in determining the appropriate cataloguing treatment. Bibliographic access will generally be provided through the AMICUS database and associated products, although access to electronic publications collected at the Linked level, for example, may be provided by other means. An electronic publication receiving regular cataloguing treatment will have a cataloguing level applied based on the same criteria as those set for other format publications, for example, according to subject criteria, or currency.

ACCESS SOFTWARE

The National Library will facilitate access to both standard and non-standard formats of electronic publications. If a publication has significant content and if the publication, or a portion of the publication is only available in a proprietary format which is not convertible, the NLC will still seek to acquire the publication, and will provide pointers to the appropriate viewers at the top of the page.

V. PRESERVATION POLICY

OVERVIEW

The National Library will normally preserve electronic publications in electronic form. Appropriate preservation measures, including proper environmental conditions for storage, security measures, and conversion and migration strategies and schedules will be taken to ensure the longevity and accessibility of the electronic collection.

Preservation at any stage of a document life cycle is concerned with provision of access both immediately and at some point in the future. Because of the ease of copying seamlessly and without damage to the original (unlike the print equivalent), preservation and access in an electronic environment become more closely entwined. The storage of publications is generally based on the speed of access desired which is in turn tied to actual, or anticipated, use patterns. Criteria other than frequency of use may also govern the storage level such as, the need to support services, e.g., Reference and ILL, the need for immediate availability of the publication, or the publication's overall functionality.

A dilemma for the preservation of access to electronic publications is that the information content is embedded in an electronic medium requiring software which is subject to rapid obsolescence. Preservation of the publication as originally issued can result over time in the information content becoming inaccessible and lost, whereas, concentrating solely on the preservation of the content can result in the loss of many aspects of the visual presentation and even of the functionality of the publication.

The National Library will endeavour to preserve the "look and feel", i.e. the presentation and functionality, of archived publications recognizing that this may prove difficult for some materials. Archiving activity will concentrate on the preservation of the intellectual content with an acceptance that certain interactive, dynamic, presentational aspects of the original may not be retained. Keeping electronic publications in the form exactly as received from the publisher as expressions of publishing culture and history and as testaments to the intellectual process involved in research and reading may not be possible in many cases.

ARCHIVING GUIDELINES

CONVERSION

The National Library will attempt to avoid conversion of networked electronic publications by allocating priority to acquiring "format neutral", i.e., standard format, publications. When conversion of proprietary format to standard format is necessary and feasible for long term preservation purposes, it is accepted that the superior presentation of the format is sacrificed to long term preservation needs.

Functionality, especially backwards compatibility, of access software will be monitored and older versions of electronic publications will be converted to be readable by newer versions of the software. Software is frequently upgraded and sometimes loses "backwards compatibility", i.e., the ability to handle electronic files created for use with an earlier version of the software. Monitoring the functionality of access software will be mandatory as new versions appear to ensure continued access to publications. If the software disappears from use, then every effort should be made to convert the publication to a standard format.

Shareware and freeware software are also subject to upgrade, but the mechanisms for announcing and distributing new versions are sometimes inadequate or lacking. The NLC will not attempt to retain and archive electronic publications in shareware, etc. format.

There is also potential for obsolescence of either the EDP equipment or the software platform upon which access software is run. It is not reasonable to consider archiving hardware. If hardware obsolescence precludes access to publications in the future, publications would necessarily need converting from one format to another. Additionally, decisions on how to best transmit knowledge of the "look and feel" of the original format would be needed.

FILE COMPRESSION

Where possible, the National Library will acquire networked electronic publications in an uncompressed format and store publications in an uncompressed format. Because certain compression algorithms lead to some loss of information from the original, and because this loss of "faithfulness" to the original is not acceptable for preservation purposes, the NLC will avoid compressing files for long-term storage whenever possible. In the situation where a publisher publishes an electronic publication only in a compressed format, then all consumers of the electronic publication would have the same loss of detail which occurred during compression. The publisher has made the decision to compress the file and risk information loss, and the NLC is therefore acquiring and preserving a copy of the electronic publication which is "equal in quality to the highest priced edition" of the work, as required under Legal

Deposit. [9] When a networked electronic publication arrives compressed, however, it should be stored in uncompressed format because the preservation of compression/decompression technologies poses an unnecessary additional complexity. The main reason for compressing data is to save in data transmission cost and time as storage savings are not appreciable.

Even given the above policy, NLC will want to accept some data loss through compression in certain cases. For example, audio or video digital objects can be very large, and compression/decompression can be performed in a manner such that data loss is undetectable by the human eye or ear. Such cases would have to be identified and agreed upon using accepted criteria; it may be that some cases will have to be judged individually. Not using compression at all would be impossible in some cases. NLC will only compress for preservation those files and objects for which there is no detectable loss of information. Only standard compression/decompression techniques will be employed.

COOPERATIVE PRESERVATION

The National Library may enter into agreements with other institutions to ensure the collection, preservation, and access of certain categories and types of Canadiana networked publications.

The National Library is initiating discussions with the Canadian library and publishing communities on long term cooperative preservation and storage activities with the goal of defining a national strategy. Until such a cooperative program is established, the NLC will continue to identify, acquire, make accessible and preserve as much electronic Canadiana as possible.

A cooperative initiative already begun in 1997 is the Canadian Initiative on Digital Libraries (CIDL). The stated objectives of CIDL are to " recommend approaches to achieving coordinated development of digital collections and services (roles and responsibilities, selection criteria/considerations that will balance national objectives with local interests, needs and constraints);...define roles and responsibilities for the long term archiving of significant digital resources of Canadian origin; develop positions on issues of access policy and practice". [10]

One possible scenario might be where institutions across Canada would each be responsible for a set of electronic publications, migrating them to new storage media and keeping these media in environmentally sound conditions so that the information remains available to future generations. Storage of one copy of a publication at a named site may be sufficient; or two or more copies may be stored at several locations. Bilateral decentralized arrangements are desirable, but will be time-consuming. In another scenario modeled upon the National Library's responsibilities as the repository for the microform masters of Canadian newspapers, NLC might assume a role in storing electronic hard copies (e.g., diskettes, tapes, CD-ROMs, etc.) of publications which are being stored on remote servers.

A third scenario might be to work with other federal players and, through national consensus, create a central repository for electronic information. This, in the end, might be the most cost-effective way to ensure the long-term availability of the published heritage. Regardless, the National Library must be prepared to act as the archive of last resort for Canadian electronic publications.

APPENDIX : TERMINOLOGY AND DEFINITIONS

Archiving

Material is hosted on an institutional server and there is an intention to keep the intellectual content of the material available on a permanent basis. Archiving is used in the broad sense to cover the concepts of collecting, preservation, and provision of long term access.

Boundary of Hypertext Electronic Publication

NLC interprets the boundary of an electronic publication as normally being the linked objects on one Internet domain. The boundary of an electronic publication is an issue with hypertext electronic publications because it can be difficult to define where a work starts and ends and where copyright starts and ends. Publications may exist on two or more (and sometimes on many) remote servers and Internet domains, with hypertext links being used to "assemble" the parts into a coherent whole. This is not an issue in the short term, when a large number of the hypertext links could reasonably be expected to function over the limited lifespan on-line. However, in the long-term if a publication consists partially (or wholly) of a series of hypertext links, many or none of the links may be operational at a future time when the publication is accessed. The integrity of these off-domain URLs cannot be maintained or preserved. Assuming that an electronic publisher has obtained copyright clearance for all the objects on the domain of the publication, limiting an electronic publication to one domain also greatly reduces the complexity of hypertext copyright issues.

Edition

The concept of edition is not standard to networked documents where changes to text can be often both fluid and frequent. The provision of access can be to multiple versions or to a current version only, depending on the circumstances. Approaches possible are:

(1) overwrite so that all that is being archived is the current "edition,"

(2) decide the publication is monographic in nature and collect it as a new edition whenever there are significant changes,

(3) treat as a serial publication,

(4) collect a representative sample of versions/editions.

Electronic publication

Networked electronic publication [11]

"A networked electronic publication is a digitally encoded information resource made available to the public through a communication network."

The definition is purposely meant to be broad and capable of encompassing many different possibilities. Selection criteria will be used to narrow the scope and describe the types of electronic publications that the NLC will collect.

Canadiana networked electronic publication

"A Canadiana networked electronic publication is any information resource which fits into the above definition and which originates in Canada, or that originates elsewhere provided the creator is Canadian or the material has a Canadian subject."

Relevant definitions from National Library Act s.2

"book" means library matter of every kind, nature and description and includes any document, paper, record, tape or other thing published by a publisher, on or in which information is written, recorded, stored or reproduced.

"published in Canada" means released in Canada for public distribution or sale, otherwise than by Her Majesty in right of a province or municipality .

Original networked electronic publication

An "original" publication is one released initially, or solely in networked electronic format. A networked publication parallel to another format version of the publication (e.g., print) is considered to have "original" status if the networked version has enhanced information content and/or functionality, e.g. graphs, sound, indexes, etc. If the networked version simply has the added feature of links established within the publication or to outside sources, this is not considered sufficient to give the publication "original" status. A networked electronic publication based on a compilation or selection of previously published materials is considered to be an "original" publication.

A networked electronic publication is considered not to be "original" if the publication has previously been published in another format and the networked version contains no enhanced information content and/or functionality when compared to the originally published version of the publication.

Dynamic networked electronic publication

A dynamic electronic publication is distinguished by a high update frequency in which any component of the publication can change at any time. It is often intended by its creator to be accessed only in its most current state and the current version is often considered the only valid version. Databases are often, but not always, examples of this type of publication.

Format

Formats are the various ways in which information is stored. The file format is a software algorithm for encoding the data, as well as any information about the data (e.g. structure, layout, compression algorithm). Hundreds of different file formats exist, but only a limited number are essential to digital library activities.

Integrity of a publication

Those features of a publication that distinguish it as a whole and singular work. These features include: content, fixity, reference, provenance and context.

On-line databases

Databases are defined as "dynamic" data collections in that they are periodically revised and updated, often on a continuous basis. It is difficult, if not impossible to identify discrete "editions" and some databases are more in the nature of information services than publications in the strict sense. This category includes commercial databases, library

catalogues, statistical databases, geographic information systems, and other large data sets requiring search engines.

Preservation

"Preservation is the managed, NLC-wide activity involving all staff which insures the longevity of the collections. Preservation activities include conserving the collections, creating preservation surrogates, controlling the environment, and establishing conditions of use".(*NLC Preservation Policy* , 1989). For electronic publications, activities include the organizing, describing, refreshing, migrating of electronic information to ensure the availability of long term access.

Site

A collection of linked documents , mostly with the same basic Internet address (internal links) although there can often be links to documents on other sites (external links). It is a general term which is often referred to loosely also as "home page".

Notes

[1] Thacker Jane and Bruce Crisp. *Electronic publications and the National Library of Canada: discussion paper and recommendations* . *EC93:20* , April 1993. 46pp

[2] National Library of Canada. Electronic Publications Pilot Project Team and Electronic Collections Committee. *Electronic Publications Pilot Project (EPPP) Final Report* . 25 October, 1995. This was an internal document which was presented to NLC Executive Committee.

[3] National Library of Canada. Electronic Publications Pilot Project Team and Electronic Collections Committee. *Electronic Publications Pilot Project (EPPP) Final Report* . June, 1996.

[4] See the NLC's definition of a networked electronic publication in the Appendix, pp.25-26.

[5] See definition of an original publication in the Appendix, p.26.

[6] *Digital Library SunSITE Collection and Preservation Policy* . Berkeley Digital Library SunSITE. 1996. URL: http://sunsite.berkeley.edu/Admin/collection.html

[7] National Library of Canada. *Canadiana Electronic Publications: Definition and Selection Criteria* (EC96:06 (rev)).

[8] National Library of Canada. *Brief Concerning Internet Content-Related Liability* . September 13, 1996.

[9] Canada. *LEGAL DEPOSIT, National Library Act (excerpts with respect to legal deposit) and National Library Book Deposit Regulations* , 1995.

[10] National Library of Canada. *Canadian Initiative on Digital Libraries A National Alliance* . June 1997, pp. 4-5)

[11] See Definitions section of National Library of Canada. *Canadiana Electronic Publications: Definition and Selection Criteria* (EC96:06 (rev)).

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GUIDELINES FOR INFORMATION ACCESS IN THE PURDUE UNIVERSITY SYSTEM

An Information Access Policy Committee was established in December 1995 and charged to formulate a policy and plan for information access for Purdue University. The plan will serve as a companion to the Academic Computing Master Plan. The latter sets forth the plan and policies relating to the "container" or transmission, hardware or software considerations, while the Information Access Policy Plan relates to "content."

The Information Access Policy Committee developed this set of guidelines and policies that could serve as an aid to guiding decisions on the funding of information access. The University Library Committee (ULC) was charged by the Information Access Policy Committee with the responsibility of review and evaluation of the requests for funding because it is a "sitting" body which has a representative from each school as well as a student representative. The University Library Committee continues to use these guidelines as a basis for review and evaluation.

The Information Access Policy Committee began its planning efforts by formulating the following policy statement:

Purdue University shall have a policy of open access for the University Community to all academic information regardless of form (printed, electronic, or other). Academic information is defined as information that can be used to enhance the scholarly, educational, and service missions of the University. Such academic information includes information over which Purdue University has ownership or to which it legitimately has access. Such information shall also be made available to the greater community (i.e., state and federal government, business and industry, and the citizens of the community at large). Open access shall only be limited when required by license or subscription agreements. Cost incurred for such information access (e.g., hardware, software, or licensing) shall be borne in part by the University and shared, as appropriate, by the users of the system.

It is the premise of the Information Access Policy committee that:

> **In the future, the only way to cost-effectively provide open-access to information will be by embracing emerging technology.**

The Committee presents the following as a set of guidelines for information access funding decisions.

FUNDING

Costs for information access are most often for the purchase licensing, or subscription charges to obtain and maintain data for on-site use (print and/or electronic) or for access to data that resides in a remote location (usually electronic unless a shared print purchase). Funding for information access will come from a variety of sources, both existing and new. Funds may be currently held in various units within the University System and may already be committed to information access. The units may continue to use these funds in their current manner or may choose to reallocate them to new information access.

Funding recommendations are meant to be neither prescriptive nor restrictive and are not designed to remove autonomy for decision-making from the various units. It is desirable that such decisions are for the "good of the University System" and do not negatively impact the ability of the University to make decisions which may address the broadest scope of the University's mission. Recommendations for how information access requests will be funded depend on:

1) fit with priorities based on the University's mission;
2) type of information;
3) primary audience;
4) resources required;
5) available technology or ability to obtain necessary technology;
6) training/education for use considerations; and of course,
7) available funding.

PRIORITIES

The dynamic nature of information access is such that all requests will not be available at the same moment during any given fiscal year. While review of requests can occur on an on-going and as-received basis, decisions regarding funding will be made at periodic intervals (e.g., quarterly). This situation means that some priorities must exist to guide those responsible for the ultimate recommendations. As a starting point, preference for new funding from centralized resources will be given to interdisciplinary and new curriculum areas, followed by interdisciplinary research areas and single or limited curriculum areas.

Among the variables to be considered will be cost as well as cost-effectiveness, which will take into account the potential user population and/or the cost per user or cost per use.

EVALUATION

Responsibility for evaluation rests with the unit responsible for purchasing (see REQUESTS below).

Selections that require recurring funding should be reviewed annually. Reviews should include at a minimum:

> 1) Does the selection meet the intended information goals;2) Does usage support original expectations for cost/user or cost/use;3) Is available technology sufficient for continued usage;4) Has training been adequate;5) Are there new products, formats, or services that would better meet the same information goals; and6) If the selection essentially duplicates another format (e.g., printed), should the original subscription or license be dropped and the resulting funds be reallocated to this selection or other.

The results of each review should determine whether continuation is warranted and/or whether changes should be made. Over the last few years, the Libraries' review of electronic licenses and subscriptions has led to cancellation of some electronic as well as printed products, changes in license agreements for existing products (e.g., less simultaneous users resulting in savings), changing from a CD-ROM product to on-line access, and changing from on-line access to a single station CD-ROM based on per user costs.

REQUESTS

The Libraries (including when appropriate, representatives from the regional campuses) will take the responsibility for reviewing requests, recommending the manner of funding, and working with appropriate offices or units to attempt to secure funding. In those cases where library and/or centralized university funding is involved, the Libraries will work with the Purchasing Department to finalize negotiations with the vendor. In cases, where only School, regional campus, or departmental funding is involved, it will be the responsibility of that unit to work with the appropriate Purchasing entity. However, if the Libraries involvement in the negotiations with the vendor could result in a "better deal" for the unit, the Libraries should be consulted.

Requests should include a number of elements to facilitate decisions. The following list, although not exhaustive, contains the most common elements.

1. Type of Database
   examples -- bibliographic file, full-text, numeric, image, mixed media
2. Format or method of access/rationale for choice of format when multiple formats available
   examples -- CD-ROM (networked or single station), on-site tape load,
   remote site access, vendor prepared tape load
3. Database description/content/frequency of updates
4. Primary purpose and audience
   examples -- curriculum, research, undergraduate, faculty and graduate number of
   anticipated users
5. Uniqueness
   availability of similar products, unique to Purdue or duplicates/overlaps
   existing resources
6. Technical needs (what is necessary to make the database accessible)
   specifications, software requirements, equipment, network, personnel
7. User training requirements/Who is responsible for training
8. Licensing/purchase specifications and restrictions
9. Archival issues
   examples -- data retained by University after subscription lapses, all data must be
   returned to vendor, access only (no data retention rights)
10. Total projected costs
    recurring, non-recurring, new hardware and software maintenance
11. Funding available

These guidelines and method of implementation are in effect for the 1999-2000 academic year.

Display the Fall 1999 Information Access request form.

October, 99

Electronic Resources Collection Development Policy

University of Tennessee, Knoxville Libraries

Introduction

The Libraries will acquire electronic resources to support instruction and research. It is the responsibility of subject librarians and the Collection Development Advisory Group to make cost-effective and appropriate purchase decisions balancing individual and institutional needs.

While traditional criteria apply to the selection of most electronic titles, the management of this format is more complex. Issues to consider not associated with traditional formats:

1. Differences in mode of access (networked access/remote, networked access/campus, networked access/library, stand-alone, etc.) See section below on "Level of Access and Associated Options".
2. Pricing options (subscription, network costs, by the search, fee/subsidized/free to users, etc.)
3. Authorization of remote users (by IP address, password, etc.).
4. Hardware and software required to operate or access electronic formats. Maintenance and upgrades can be expensive
5. Public services support more intense in the areas of staff and user training, documentation, and troubleshooting, especially with services accessed outside of the library.

General Policies & Procedures

Formats

The University Libraries shall collect bibliographic materials, fulltext files, numeric data files, and graphic and multimedia files appropriate to the scope of the Libraries' collection. Courseware and instructional programs are generally not collected, unless intended for other than laboratory or classroom use. The Libraries will collect computer software only as accompanying material or used to facilitate access to other electronic formats collected by the Libraries.

The Library will not acquire site licenses to software or courseware for the purpose of distribution to users within the University.

Decision-Making Process

The Serial and/or Electronic Media Request Form is used to request new titles for both subscription and one-time purchase titles. The requester provides the following information:

- product description
- alternate access / duplicate or similar titles
- hardware and software requirements
- suggested level of access and location

The Electronic Services Coordinator reviews the form for alternate access and consults with the Electronic Resources Librarian and Systems Librarian on technical issues and with appropriate unit management about location issues. The Electronic Services Coordinator oversees any tests and trial periods.

The Electronic Formats Council makes decisions on electronic titles. It is comprised of the Team Leader for Collection Development, Team Leader for Reference & Information Services, Team Leader for Acquisitions & Processing, the Subject Coordinators, and the Electronic Services Coordinator. They review requests for selection, on a monthly basis, as necessary, to determine priorities, levels of access, and locations. They suggest alternate access, request trials and review trial outcomes. They also review subscriptions on a regular basis for continuation and/or adjustments in the access method. The Electronic Services Coordinator will communicate the meeting decisions to the Subject Librarians after each meeting.

Electronic formats may also be acquired through approval slips and firm orders. Upon receipt, they will be reviewed by the subject librarian and appropriate staff, to decide the appropriate mode of access.

As a rule, items in electronic format with accompanying materials will remain with the primary item. Backup copies will be made on a case-by-case basis.

Supporting Hardware/Software

The availability of appropriate hardware and software should be considered during the selection process. In extraordinary cases, the Libraries will select an electronic title for which it will not provide hardware and software for access.

Level of Access and Associated Services

The University Libraries will support several levels of access, with associated levels of service, to electronic materials. The goal is to provide the widest possible, affordable, access to UTK students, faculty, and staff . When an electronic resource is requested, the subject librarian will select a mode of access, as well as a suggested location within the Libraries, and provide a rationale for each.

In determining the level of access, the Electronic Formats Subgroup will consider the anticipated use (user population, extent of use,

type of use, etc.) and the associated costs (price, hardware and software, training, etc.).

The levels of access are:

1. Network /local load - Files are loaded onto a local server and accessed, usually, via a common user interface, including a web-based interface. Titles with the highest anticipated use should be in this category. All public services units with full-service workstations should be able to provide basic assistance in performing a search and dealing with the output.
2. Network/remote access - Files are accessed from a remote server, usually, via a common user interface, including a web-based interface. Titles with the highest anticipated use should be in this category. All public services units with full-service workstations should be able to provide basic assistance.
3. Network/within building(s) - Files are loaded onto a local network and are accessed with their accompanying interface. Usually these titles are not accessible through a "common interfaces."
4. Stand-alone/local load ("just-in-case") - Files of limited use will be loaded onto a single workstation.
5. Stand-alone/remote access ("just-in-case") - Remote services with a limited number of access passwords, or for which use is limited, will be accessed on a limited number of workstations.
6. Stand-alone ("just-in-time") - Title is accessed via appointment only and loaded onto a library workstation only when needed. Titles are usually too expensive to be left in the stacks to circulate.
7. Shelf (closed stacks) - Title circulated to patrons, some on a limited basis depending upon the price. No technical support available.
8. Commercial mediated search service/subsidized - Mediated searching provides access to files not accessible via any of the above ways. Funds available to subsidize the searching for students and for reference questions. Librarians perform searches. Qualified staff perform searches in limited situations, such as cited references, citation verification, etc. Subject groups may allocate funds to subsidize searching for faculty.
9. Commercial mediated search service/full fee recovery - Fee-recovery- based mediated searching provides access to files not accessible via any of the above ways. Librarians perform searches.

License Agreements

The University Libraries purchases access or data from publishers who require signed license agreements. When negotiating license agreements, the Libraries keeps the interests of the user in mind and does not purchase titles where the restrictions on use would seriously impede research or be impossible to enforce. Extensive license agreements are reviewed by University Counsel and signed by a Vice President of the University System. Acquisitions & Processing coordinates the review of the license agreement and submits the signed license agreement as part of the ordering procedure. The Libraries will try to negotiate agreements with vendors to override limitations to concurrent users for hands-on training purposes.

Consortia

Whenever advantageous, the University Libraries will participate in consortial agreements for access to electronic resources.

Serial and/or Electronic Media Request Form (View and Print)

The form collects the following information:

- Product description - Including any flyers, reviews, etc.
- Alternate access / duplicate or similar titles - Other methods of access of the same or similar content, including any currently owned titles in any format.
- Hardware and software requirements - Specific hardware, operating system and other software requirements.
- Suggested level of access and location - Networked, stand-alone or stacks. Signature(s) of appropriate unit management required for stand-alone locations (Reference, Documents, Audiovisual Services, branch library, other).

Implementation

Implementation of new electronic titles, either networked or in the Hodges Library, will be the responsibility of the Electronic Services Coordinator, the Electronic Resources Librarian, the Systems Librarian, and appropriate units. Branch heads are responsible for the implementation of electronic titles in their unit.

May 12, 1998

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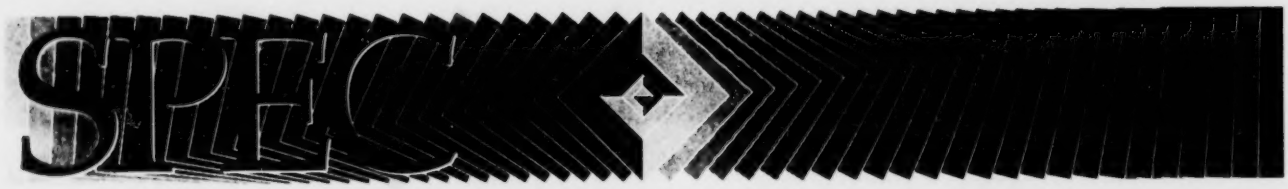

SELECTED RESOURCES

ASSOCIATION OF RESEARCH LIBRARIES
OFFICE OF LEADERSHIP AND MANAGEMENT SERVICES

Books and Journal Articles

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SPEC KIT ORDER FORM

QTY	TITLE		QTY	TITLE		QTY	TITLE	
			____	SP221	Evol & Status of Approval Plans	____	SP161	Travel Policies
			____	SP220	Internet Training	____	SP160	Preservation Org & Staff
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